

# U.S. Department of Energy

Washington, D.C.

*Cancel:*  
DOE 5635.1

ORDER

DOE 5635.1A

2-12-88

*Cancelled by  
HQ 5635.1  
DOE 5637.1C*

SUBJECT: CONTROL OF CLASSIFIED DOCUMENTS AND INFORMATION

1. PURPOSE. To provide uniform standards and operating procedures for safeguarding and controlling classified documents and information, to ensure that classified documents are furnished only to authorized personnel on a "need-to-know" basis, and to prevent loss or compromise of classified information.
2. CANCELLATIONS.
  - a. DOE 5635.1, CONTROL OF CLASSIFIED DOCUMENTS AND INFORMATION, of 11-24-80.
  - b. HQ 5635.1, SECURITY PROCEDURES FOR CLASSIFIED CONTAINER INFORMATION, of 9-24-84.
3. SCOPE. The provisions of this Order apply to all Departmental Elements and contractors performing work for the Department, as provided by law and/or contract and as implemented by the appropriate contracting officer.
4. APPLICABILITY. This Order applies to military personnel, employees of other Government agencies assigned or detailed to the Department, and other persons performing classified work for the Department.
5. REFERENCES. Refer to Attachment 1.
6. DEFINITIONS. Refer to Attachment 2.

BY ORDER OF THE SECRETARY OF ENERGY:



LAWRENCE F. DAVENPORT  
Assistant Secretary  
Management and Administration

DISTRIBUTION:  
All Departmental Elements

INITIATED BY:  
Office of Safeguards  
and Security

REFERENCES

1. DOE 1324.2, RECORDS DISPOSITION, of 5-28-80, which prescribes standards for the orderly disposition of DOE records.
2. DOE 1325.1A, CORRESPONDENCE MANUAL, of 6-18-81, which describes procedures for preparing and processing DOE correspondence.
3. DOE 1430.1A, MANAGING SCIENTIFIC AND TECHNICAL INFORMATION, of 9-10-86, which establishes responsibility for managing scientific and technical information developed in the Department's research and development program.
4. DOE 1430.2, IMPLEMENTATION OF THE SCIENTIFIC AND TECHNICAL INFORMATION MANAGEMENT PROGRAM, of 12-13-83, which establishes the implementation procedures for the Department's scientific and technical information program.
5. DOE 1500.3, FOREIGN TRAVEL AUTHORIZATION, of 11-10-86, which establishes policy and procedures governing official and unofficial foreign travel.
6. DOE 3750.1, WORK FORCE DISCIPLINE, of 3-23-83, which establishes policy and procedures to ensure work force discipline.
7. DOE 5610.2, CONTROL OF WEAPON DATA, of 8-1-80, which establishes procedures for controlling weapon data.
8. DOE 5630.8, SAFEGUARDING OF NAVAL NUCLEAR PROPULSION INFORMATION, of 12-27-82, which promulgates the official definition of naval nuclear propulsion information, outlines disclosure policies and general safeguarding requirements for such information, and clarifies the requirements for disposal of material containing naval nuclear propulsion information.
9. DOE 5631.1A, SECURITY EDUCATION PROGRAM, of 12-22-86, which establishes the policy for and implementation of a systematic safeguards and security awareness program.
10. DOE 5631 series, Personnel Security, which establishes policy, responsibilities, and authorities for implementing the DOE personnel security program.
11. DOE 5632.9, ISSUANCE, CONTROL, AND USE OF BADGES, PASSES, AND CREDENTIALS, of 2-3-88, which establishes policy and procedures governing the issuance and control of credentials, shields, and courier cards.

12. DOE 5631.4, CONTROL OF CLASSIFIED VISITS, of 5-25-84, which establishes the policy and procedures governing classified visits to DOE facilities.
13. DOE 5632.4, PHYSICAL PROTECTION OF SECURITY INTERESTS, of 11-4-85, which prescribes policies, objectives, responsibilities, and authorities for the physical protection of security interests and establishes minimum physical protection requirements and standards for such interests.
14. DOE 5631.5, VIOLATIONS OF LAWS, LOSSES, AND INCIDENTS OF SECURITY CONCERNS, of 2-12-88, which sets forth Departmental procedures to ensure timely and effective investigation and other follow-up action relating to violations of Federal laws and to certain losses of security interest.
15. DOE 5634.1A, SECURITY SURVEYS, NUCLEAR MATERIAL SURVEYS AND FACILITY APPROVAL, of 2-3-88, which establishes Departmental requirements for conducting periodic onsite security surveys of classified facilities under the Department's jurisdiction. The Department shall ensure that all facilities eligible to receive, process, reproduce, store, transmit, or handle classified matter, including special nuclear materials, have been granted facility approval prior to permitting access to such matter or material.
16. DOE 5635.2B, PROTECTION OF CLASSIFIED NATIONAL SECURITY COUNCIL INFORMATION, of 4-19-85, which establishes procedures to protect National Security Council Information.
17. DOE 5635.3, HAND-CARRYING OF CLASSIFIED MATTER ON AIR CARRIERS, of 1-29-88, which provides guidelines and procedures for hand-carrying classified matter on air carriers.
18. DOE 5637.1, CLASSIFIED COMPUTER SECURITY PROGRAM, of 1-29-88, which establishes uniform requirements, policies, and responsibilities for developing and implementing a program to ensure the security of information stored in classified automatic data processing systems.
19. DOE 5636.3A, TECHNICAL SURVEILLANCE COUNTERMEASURES PROGRAM, of 2-3-88, which establishes the Department's technical surveillance countermeasures (TSCM) program.
20. DOE 5636.4, SECURITY MANUAL FOR CLASSIFIED AUTOMATED DATA PROCESSING SYSTEMS, of 7-13-83, which establishes uniform procedures for techniques to be used when applying computer security measures to protect the classified information being processed, stored, or reproduced on automatic data processing systems.

21. DOE 5650.2A, CLASSIFICATION OF INFORMATION, of 5-8-85, which provides specific responsibilities, standards, and procedures for managing the DOE classification system.
22. DOE 5670.1, MANAGEMENT AND CONTROL OF FOREIGN INTELLIGENCE, of 8-22-86, which sets the guidelines for managing and assigning responsibilities for the Department's foreign intelligence activities.
23. "Security Controls on the Dissemination of Intelligence Information Bearing the Director of Central Intelligence Control Markings," of 5-12-86, as changed, which implements within the Department, the policy control and procedures as set forth in DCID 1/7 and which supplements the policies and procedures set forth in DOE Orders.
24. DOE Procedural Guide, "Security Standards for Sensitive Compartmented Information and Facilities," of 2-86, which establishes policy, control, and procedures for the integrity and security of sensitive compartmented facilities, including information security, personnel security and document security, as set forth in DCID 1/14 and 1/19, and DOE Orders.
25. Title 42 United States Code (U.S.C.) 2011 et seq., Atomic Energy Act of 1954, as amended, which describes requirements for the protection of classified information relating to atomic energy.
26. Department of Energy Acquisition Regulation (DEAR) 952.204-2, which requires DOE contractors and subcontractors to adhere to DOE regulations and requirements, including those pertaining to security practices.
27. Public Law 95-91, Department of Energy Organization Act of 1977, which created DOE.
28. Title 42 U.S.C. 5801 et seq., Energy Reorganization Act of 1974, as amended, which created the Energy Research and Development Administration and the Nuclear Regulatory Commission.
29. Executive Order 12356, "National Security Information," of 4-6-82, which provides requirements for safeguarding National Security Information, and "Information Security Oversight Office Directive No. 1," of 6-25-82, which assists in implementing Executive Order 12356.
30. Title 32 CFR 2003, Information Security Oversight Office (ISOO) Directive, Part V, of 12-19-85, which sets the procedures and directs the use of standard forms for National Security Information.

31. M-3679, "Standard Distribution for Classified Scientific Reports," of 3-4-84 (R-73), which prescribes the requirements and standards for the distribution of classified scientific reports.
32. National Security Decision Directive Number 84 (NSDD 84), of 3-11-83, which sets the requirements for safeguarding National Security Information against unlawful disclosures.
33. National Security Decision Memorandum (NSDM) 119, "Disclosure of Classified United States Military Information to Foreign Governments and International Organizations," of 7-20-71, which sets policy governing the disclosure of classified U.S. military information to foreign governments and international organizations.
34. National Policy and Procedures for the Disclosure of Classified Military Information to Foreign Governments and International Organizations, of 12-17-69, supplemented by "Disclosure of Classified Military Information to Foreign Governments and International Organizations," of 7-20-71.
35. Presidential Directive, Basic Policy Governing the Release of Classified Defense Information, of 9-23-58, which relates to National Security Information.
36. United States Security Authority for NATO Affairs Instruction 1-69 (5100.55, Encl. 2), of 1982, which sets procedures governing the protection and handling of NATO classified information and material.

## DEFINITIONS

1. ACCESS AUTHORIZATION OR SECURITY CLEARANCE. An administrative determination that an individual who is either a DOE employee, applicant for employment, consultant, assignee, other Federal department or agency employee, DOE contractor or subcontractor employee, or the person designated by the Secretary is eligible for access to classified information or special nuclear material. Clearances granted by the Department are designated as O, L, Top Secret, or Secret. (See DOE 5631 series.)
2. ACCOUNTABILITY STATION. An organizational unit (or individual) designated by a transfer and accountability station to act as Secret document control point secondary to the transfer and accountability station.
3. AUTHENTICATING OFFICIAL. An official who has received specific authorization to classify information as Top Secret (an authorized Top Secret Classifier).
4. AUTHORIZED CLASSIFIER.
  - a. Original Classifier. One authorized to classify National Security Information by an original determination based on Executive Order 12356, where no specific guidance exists.
  - b. Derivative Classifier. One authorized to classify documents or material as Restricted Data (RD), Formerly Restricted Data (FRD), or NSI only in accordance with existing guidance.
5. AUTHENTICATION. Certification that a document contains Top Secret information.
6. AUTOMATIC DATA PROCESSING (ADP). Data processing performed by a system of electronic or electrical machines including input, processing, and output operations.
7. AUTOMATIC DATA PROCESSING CENTER. One or more rooms or a building containing the main elements of an ADP system.
8. AUTOMATIC DATA PROCESSING SYSTEM. A system comprised of procedures, processes, methods, personnel, and ADP equipment to perform a series of data processing operations either manually or automatically.

9. BOOK MESSAGE. A message forwarded by teletype, telegraph, or other electrical means to two or more addresses, each of whom will receive the message without the list of other addresses.
10. BOUND DOCUMENTS. Documents whose pages are permanently fastened together in a manner by which no one or more pages may be removed without leaving evidence that it was done. This excludes methods such as brads, spiral binders, or similar commercial fasteners commonly used.
11. CLASSIFICATION. Classification is a means of identifying information concerning the national defense and foreign relations of the United States that requires protection against unauthorized disclosure.
12. CLASSIFICATION CATEGORY. One of three kinds of classified information: Restricted Data, Formerly Restricted Data, or National Security Information.
13. CLASSIFICATION LEVEL. One of the three classification levels in descending order: Top Secret (TS), Secret (S), and Confidential (C).
14. CLASSIFIED CONTROL OFFICER. A person appointed to control and account for classified matter within DOE or DOE contractor or subcontractor organizations or a level of organization.
15. CLASSIFIED DOCUMENT. Any document containing classified information.
16. CLASSIFIED INFORMATION. Restricted Data, Formerly Restricted Data, or National Security Information which requires safeguarding in the interest of national security.
17. CLASSIFIED MAILING ADDRESS. An authorized postal mail address including ZIP code, where procedures for classified mail deliveries have been approved. Normally a Classified Mailing Address will be listed with specific approved mail services, such as "Registered Mail Only."
18. CLASSIFIED MATTER. Documents and/or material containing classified information or which are classified in and of themselves.
19. CODE WORD. One or more unclassified words, symbols, letters, numbers, or a combination thereof, assigned a special meaning for the safeguarding of classified information. (Nicknames, chemical symbols, abbreviations, and short letters are not considered code words.)
20. COMPROMISE. Disclosure of classified information to persons not authorized to receive such information.

21. CONFIDENTIAL. A classification level which is applied to classified information, the unauthorized disclosure of which reasonably could be expected to cause damage to the national security.
22. CONTIGUOUS UNITED STATES. The adjoining 48 states, and the District of Columbia, excluding Alaska and Hawaii.
23. CONTRACTOR. An agency or person who contracts directly or indirectly to supply goods or services to the DOE. This includes subcontractors of any tier, consultants, agents, grantees, and cooperative agreement participants.
24. COURIER. A DOE employee or member of the Armed Forces assigned to and performing duties under the direction and control of the DOE, who is specifically designated for armed protection in transit of Top Secret or other matter which, in the opinion of the responsible Head of a Department Element requires such protection. Couriers are required to carry credential identification.
25. CUSTODIAN. Any person or office or small unit level to whom a classified document is charged by records of the DOE or DOE contractors, or in the case of a Confidential document in the absence of records, any person who possesses the document.
26. CUSTODIAN OF RECORD. All authorized Top Secret classifiers, original or derivative, and other permanent holders of Top Secret documents.
27. DECLASSIFICATION.
  - a. A determination by appropriate authority that information no longer requires classification protection;
  - b. A determination by appropriate authority in accordance with approved classification policy or guidance that a previously classified document or material is no longer classified; or
  - c. The removal of classification markings from a document or material in accordance with a declassification notice from an appropriate authority.
28. DECLASSIFIED DOCUMENT. A previously classified document that has been declassified by appropriate authority in accordance with approved declassification procedures and from which the classification markings have been removed or defaced.



29. DERIVATIVE CLASSIFICATION.

- a. Restricted Data or Formerly Restricted Data. A determination made by an authorized classifier other than the original classifier in accordance with approved classification guidance or source documents that a document or material contains Restricted Data or Formerly Restricted Data.
- b. National Security Information. A determination made by an authorized classifier other than the original classifier in accordance with approved classification guidance, source documents, or other instructions from an Original Classifier that a document or material contains National Security Information.

30. DIRECTOR CENTRAL INTELLIGENCE (DCI) AUTHORIZED CONTROL MARKINGS. The six caveats approved for use with other security markings:

- a. WNINTEL. WARNING NOTICE - Intelligence sources or methods involved.
- b. ORCON. Dissemination and extraction of information controlled by Originator.
- c. NOCONTRACT. Not releasable to contractors/consultants.
- d. PROPIN. Caution--proprietary information involved.
- e. NOFORN. Not releasable to foreign nationals.
- f. REL. Authorized for release to (country).

31. DOCUMENT. Any record of information regardless of physical form or characteristics, including, but not limited to, the following:

- a. Handwritten, printed, or typed matter.
- b. Painted, drawn, or engraved matter.
- c. Sound, magnetic, optical or electromechanical recordings.
- d. Photographic prints and exposed or developed film or still or motion pictures.
- e. Automatic data processing input and contents of equipment and/or media including memory, punch cards, tapes, diskettes, and visual displays.
- f. Reproductions of the foregoing by any process.

32. DOCUMENTATION. An annotation, on the face of a classified document, of the number of pages of a document, the series designation for the particular set of copies, and number of each copy within the set.
33. DOWNGRADING. Lowering the classification level of information, documents, or material. (Does not include declassification.)
34. EXCEPTION. A permanent exclusion from a specific requirement granted on a case-by-case basis because it may be impossible, highly impractical, not cost effective, or unnecessary due to existing measures or standards already exceeding the prescribed requirement.
35. FACILITY. An educational institution, manufacturing plant, laboratory, or office building utilized by the Department or its contractors or subcontractors for the performance of work for the Department.
36. FOREIGN GOVERNMENT INFORMATION.
  - a. Information provided by a foreign government or governments, an international organization of governments, or any element thereof with the expectation, expressed or implied, that the information, the source of the information, or both, are to be held in confidence; or
  - b. Information produced by the United States pursuant to or as a result of a joint arrangement with a foreign government or governments or an international organization of governments, or any elements thereof, requiring that the information, the arrangement, or both, are to be held in confidence.
37. FORMERLY RESTRICTED DATA (FRD). Classified information jointly determined by DOE and the Department of Defense (DOD) to be related primarily to the military utilization of atomic weapons, and removed by DOE from the Restricted Data category pursuant to section 142(d) of the Atomic Energy Act, as amended, and safeguarded as National Security Information subject to the restrictions of transmission to other countries and regional defense organizations that apply to Restricted Data.
38. GOVERNMENT AGENCY. Any executive department, commission, independent establishment, or corporation, wholly or partly owned by the United States of America and which is an instrumentality of the United States, or any board, bureau, division, service, office, officer, authority, administration, or other establishment in the executive branch of the Government.

39. INFORMATION. Any data, document, or material, regardless of its physical form or characteristics, that is owned by, produced by or for, or under the control of the United States Government.
40. INFORMATION SECURITY OVERSIGHT OFFICE. An organization of the General Services Administration authorized by Executive Order 12356 to oversee Government implementation of that Executive order.
41. INFRACTION. An act or omission involving failure to comply with DOE safeguards and security directives.
42. INTELLIGENCE INFORMATION AND RELATED MATERIALS.
  - a. Foreign Intelligence. Information relating to the capabilities, intentions and activities of foreign powers, organizations or persons.
  - b. Related Materials. Information describing U.S. foreign intelligence and counterintelligence activities, sources, methods, equipment, and methodology used for the acquisition, processing, or exploitation of such intelligence; photography or recordings resulting from U.S. collection efforts.
43. INVENTORY.
  - a. A complete, detailed, descriptive record of classified document holdings with the capability of making it consistent or compatible with documents or hand (reconciliation).
  - b. The act of comparing documents to records of holdings.
44. M-3679. A standard distribution list for classified scientific and technical reports, administered by the DOE Office of Scientific and Technical Information.
45. MASTER COPIES FOR REPRODUCTION. Master copies are such items as ditto stencils, photostatic negatives, Multilith plates, and other reproduction master copies which are used for large-scale reproduction.
46. MATERIAL.
  - a. A chemical or metallic substance, including metals;
  - b. A fabricated or processed item; or
  - c. Machinery and equipment.

47. MATTER. Information in tangible form (i.e., material or documents).
48. MESSAGE. A document transmitted by teletype, telegraph, facsimile, or other electrical means.
49. MICROFICHE/MICROFILM. Film, photo card, or flat negative containing microimages.
50. NATIONAL SECURITY. The national defense or foreign relations of the United States.
51. NATIONAL SECURITY INFORMATION. Information that has been determined pursuant to Executive Order 12356, "National Security Information," (NSI) or any predecessor order to require protection against unauthorized disclosure and that is so designated.
52. NEED-TO-KNOW. A determination by persons having responsibility for classified information or matter, that a proposed recipient's access to such classified information or matter is necessary in the performance of official or contractual duties of employment under the cognizance of the Department of Energy.
53. OFFICIAL USE ONLY (OUO). A designation identifying unclassified information that may be exempt from mandatory disclosure under the FOIA.
54. ORIGINAL CLASSIFICATION. The initial determination by an original classifier that information requires protection as NSI under the provisions of Executive Order 12356. Includes the specification of a classification level and the classification duration.
55. PROTECT AS RESTRICTED DATA (PAR). The PAR designation is assigned to computer generated numerical data or related information for which it is not operationally feasible to establish a security classification because detailed knowledge of weapon design or other significant information is essential for determination or because of the high volume of output and low density of potentially classified data.
56. PORTION MARKING. The application of NSI classification markings to individual portions of a document to indicate their specific classification level.
57. PRINTOUT. A printed listing of the contents of an automatic data processing storage device or selected parts of it.

58. PRODUCTION RATE INFORMATION. Information relating to the capacity to produce or actual production of:
  - a. Weapons or weapon components;
  - b. Plutonium, tritium, or enriched lithium-6;
  - c. Uranium enriched in the isotope-235; or
  - d. Uranium-233.
59. RECONCILIATION. The verification of the validity between supporting documents and a control document.
60. RESEARCH AND DEVELOPMENT REPORT. See "Scientific and Technical Report."
61. RESTRICTED DATA. All data concerning design, manufacture or utilization of atomic weapons, the production of special nuclear material, or the use of special nuclear material in the production of energy, but shall not include data declassified or removed from the Restricted Data category pursuant to section 142 of the Atomic Energy Act of 1954, as amended.
62. SANITIZING. Physical removal of all classified information from a classified document.
63. SCIENTIFIC AND TECHNICAL REPORTS. For the purpose of this Order, scientific and technical reports are documents that contain results from or pertain to scientific and technical information first used, cumulated, or developed during work supported by DOE or during work carried out for others at DOE facilities. These documents report on research, development, or demonstration and take the form of technical reports (formal, topical, or progress), journal articles, reprints, theses or dissertations, scientific or technical conference and symposium proceedings, or translations.
64. SECRET. The classification level applied to information, the unauthorized disclosure of which reasonably could be expected to cause serious damage to the national security.
65. SECRETARY. The Secretary of the Department of Energy as provided by Section 102 of the Energy Reorganization Act of 1974.
66. SECURITY AREA. A physically defined space containing classified documents, information, or material and subject to physical protection and personnel access controls that include the requirement for escort of uncleared visitors.

67. SECURITY INTEREST. A security interest consists of any of the following which requires special protection: classified matter, special nuclear material, security shipments, secure communications center, sensitive compartmented information facilities, automatic data processing centers, or other systems including classified information, or Departmental property.
68. SENIOR OFFICIAL OF THE INTELLIGENCE COMMUNITY. The senior official from a Department/Agency of the intelligence community charged with implementing DCI policy and directives within his or her organization. Within DOE, the Secretary is the Senior Official of the Intelligence Community.
69. SENSITIVE COMPARTMENTED INFORMATION (SCI). All classified information and materials bearing intelligence community special access controls formally limiting access and dissemination. SCI does not include Restricted Data as defined in the Atomic Energy Act of 1954, as amended.
70. SENSITIVE NUCLEAR MATERIAL PRODUCTION INFORMATION.
  - a. Classified production rate or stockpile quantity information relating to plutonium, tritium, enriched lithium-6 and uranium-235 and -233.
  - b. Laser separation technology.
71. 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 for the information extracted.
72. SPECIAL ACCESS PROGRAM. Any program imposing need-to-know or access controls beyond those normally provided for access to Confidential, Secret, or Top Secret Information. Such a program may include, but is not limited to, special clearance, adjudication, or investigative requirements, special delegations of officials authorized to determine need-to-know, or special lists of persons determined to have a need-to-know.
73. SPECIAL MESSENGER. A DOE employee, or member of the armed forces, assigned to and performing duties under the direction and control of the DOE, who is authorized to routinely transport Secret and Confidential matter.

74. TOP SECRET. The classification level applied to information, the unauthorized disclosure of which could reasonably be expected to cause exceptionally grave damage to the national security.
75. TOP SECRET AUTHENTICATING SYMBOL. A unique symbol assigned by Director of Safeguards and Security (DP-34) to each Top Secret original or derivative classifier which is indicated on each newly generated Top Secret document classified by the Top Secret classifier, or on each newly received Top Secret document in DOE.
76. TOP SECRET CLASSIFIER. An individual who has received specific authorization to classify information as Top Secret.
77. TRANSCCLASSIFICATION. The removal of information from one classification category to another. This term is normally used to describe the removal of information from the Restricted Data category to the category of Formerly Restricted Data.
78. TRANSFER AND ACCOUNTABILITY STATION. An organizational unit which (or individual who) controls the origination, receipt, transmission, and disposition of classified scientific and technical reports, and Secret and Confidential weapon data reports.
79. UNAUTHORIZED DISCLOSURE. A communication or physical transfer of classified information to an unauthorized recipient.
80. UNCLASSIFIED CONTROLLED NUCLEAR INFORMATION (UCNI). Unclassified information whose unauthorized dissemination is prohibited under section 148 of the Atomic Energy Act.
81. UPGRADING. Raising the classification level of information, documents, or material. (Also applied to the marking of a classified document or material that was initially improperly issued as unclassified.)
82. 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:
  - a. The Atomic Energy Act of 1954, as amended (42 U.S.C. 2011 et seq.).
  - b. 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).

c. Title 18, U.S.C. as it pertains to:

- (1) Espionage (sections 791-798);
- (2) Sabotage (sections 2151-2156);
- (3) Treason and subversive activity (sections 238-285);
- (4) Malicious mischief (sections 1361-1363);
- (5) Actual or threatened use of explosives against persons or property (sections 841-848);
- (6) Destruction of Government property;
- (7) Embezzlement and theft (sections 641 and 6619);
- (8) Extortion and threats (sections 876-878);
- (9) Civil disorders (section 231);
- (10) Riots (section 2101).

d. Executive Order 12356. An intentional breach of security procedures, or a combination of unintentional acts (infractions), which could result in a violation.

83. VISUAL MATERIALS. Photographs, motion pictures, slides, article concepts, engineering drawings, plant layouts, plot plans, maps, viewgraphs, video tapes, flip charts, etc.
84. WAIVER. A temporary exemption from a specified requirement. Waivers shall be valid for the minimum time necessary and shall be updated annually. A waiver request need not be submitted for deficiencies which can be corrected within 60 days of identification. However, compensatory measures must be applied pending correction.
85. WEAPON DATA. Restricted Data or Formerly Restricted Data concerning the design, manufacture, or utilization (including theory, development, storage, characteristics, performance, and effects) of nuclear weapons or nuclear weapon components, including information incorporated in or related to nuclear explosive devices.



86. WORKSHEETS.

- a. Notes, work papers, preliminary copies of pages of a document, and additional or revised pages prior to incorporation into final copy;
- b. Repetitive forms used to collect data, or
- c. In the field of telecommunications, worksheets additionally include manual or machine-produced page copies and carbons (clear text or encrypted), perforated and printed tapes, and magnetic tape media produced by communications centers.

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CHAPTER I  
RESPONSIBILITIES AND AUTHORITIES

1. ASSISTANT SECRETARY FOR DEFENSE PROGRAMS (DP-1) shall:

- a. Review and approve policies, standards, requirements, and procedures for controlling classified documents.
- b. Execute agreements for exchanging classified information with foreign governments as provided in Chapter XIII.
- c. Review and approve requests for waivers of the requirement for security assurances and security checks, as they relate to classified information exchanges with foreign governments in accordance with Chapter XIII.
- d. Review and approve waivers of understandings, as provided on page XIII-1, paragraphs 2b(1) through (4), as they relate to agreements noted under paragraph 1c above.
- e. Approve access to Special Intelligence in accordance with Director of Central Intelligence Directives (DCID).
- f. Controls access to and dissemination of Sensitive Compartmented Information (SCI) and that information bearing the DCI authorized control markings as provided for in Attachment 1, paragraphs 22, 23, and 24.

2. DEPUTY ASSISTANT SECRETARY FOR MILITARY APPLICATION (DP-20) shall:

- a. Develop requirements and procedures for controlling nuclear weapon data (refer to DOE 5610.2).
- b. Ensure that Restricted Data and Formerly Restricted Data documents being sent from the Department and its contractors to foreign entities under cooperative agreements for mutual defense purposes are channeled to the Joint Atomic Information Exchange Group for review and assurance that the information contained therein is transmissible in accordance with statutory determinations formulated under sections 123 and 144 of the Atomic Energy Act of 1954, as amended.
- c. Approve the distribution and transmission of classified scientific and technical reports containing nuclear-weapon-related information and effects information (specifically categories C-72, C-73, C-74,

C-74a, and C-81 as defined in M-3679 issued by the Office of Scientific and Technical Information (MA-28). Also, coordinate with other organizations in transmitting sensitive information in their areas of programmatic jurisdiction.

3. DEPUTY ASSISTANT SECRETARY FOR SECURITY AFFAIRS (DP-30) shall:

- a. Oversee the implementation of Executive Order 12356 and its implementing directives.
- b. Grant and revoke waivers requiring an annual inventory of storage systems containing large volumes of Top Secret information.

4. DIRECTOR OF OFFICE OF CLASSIFICATION (DP-32) shall:

- a. Act as the senior agency official responsible for directing and administering the DOE information security program, except for those provisions of the Executive order and implementing directives that deal with the safeguarding of such classified information as personnel security, physical security, and the establishment of special access programs.
- b. Assist in matters involving the classification, upgrading, downgrading, declassification, and transclassification of all classified documents.
- c. Make recommendations to the Secretary concerning the designation of certain Top Secret classifiers and acts for the Secretary in designating other Top Secret classifiers.
- d. Inform the Director of Safeguards and Security (DP-34) of the appointment of all Top Secret original and derivative classifiers to ensure the correct assignment of authenticating symbols.

5. DIRECTOR OF INTERNATIONAL SECURITY AFFAIRS (DP-33) shall:

- a. Determine, in accordance with the provisions on page XIII-3, paragraph 3b, whether furnishing classified information to foreign governments will result in a net advantage to the national security of the United States.
- b. Assist in developing agreements for exchanging classified information with foreign governments, as set out in Chapter XIII.
- c. Obtain security assurances, as required on page XIII-4, paragraph 3d(1), on the proposed exchange of classified information with foreign governments.

6. DIRECTOR OF SAFEGUARDS AND SECURITY (DP-34) shall:

- a. Develop, for review and approval by the Assistant Secretary for Defense Programs, policies, standards, and procedures for controlling classified documents, in coordination with Departmental Elements.
- b. Provide guidance and assistance in all phases of the control and accountability of classified documents.
- c. Administer and oversee implementation of Executive Order 12356 pertaining to special access programs, personnel, and physical security regarding the protection of National Security Information.
- d. Compiles and maintains a current central register of code words originated and used by its contractors.
- e. Notify designated Heads of Departmental Elements when code words are assigned or discontinued.
- f. Maintain central accountability of Top Secret documents originated by, or in the possession of, DOE and its contractors.
- g. Assign Top Secret authenticating symbols to all Top Secret classifiers.
- h. Monitors the activities of DOE and contractors involving unaccounted-for classified documents.
- i. Submit to the Information Security Oversight Office semiannual reports of intentional unauthorized disclosures of National Security Information by DOE and contractor employees.
- j. Submit reports immediately of unauthorized disclosures of classified information, resulting from systemic problems, to the Information Security Oversight Office.
- k. Authorize, in writing, DOE and contractor employees to carry Secret and Confidential documents to and from non-Soviet Bloc countries.
- l. Authorize the transmission of Secret and Confidential documents by other-than-prescribed means.
- m. Establish a program for the control, safeguarding, and accountability of classified documents received from other Government agencies and foreign governments.

- n. Administer the Department's subregistry for safeguarding and controlling North Atlantic Treaty Organization (NATO) classified information. Procedures and requirements for safeguarding and control of NATO classified information are set forth in U.S. Security Authority for NATO Affairs (USSAN) Instruction 1-69 (5100.55, Encl. 2), of 1982.
  - o. Establish procedures to ensure that DOE and contractor employees, or other persons under their jurisdiction, who possess access authorization to classified information be required to sign a nondisclosure agreement, Standard Form 189 or 189A, "Classified Information Nondisclosure Agreement," as a precondition for access to classified information (see Attachments II-3 and II-4). For Headquarters the Director of Safeguards and Security shall:
    - (1) Issues local implementing procedures for the control and accountability of classified documents.
    - (2) Ensure that employees are cognizant of their responsibilities to safeguard and control classified documents.
    - (3) Ensure that all employees who prepare and handle classified documents are afforded appropriate education and training in procedural document control applications to ensure proper implementation and compliance with the provisions of this Order (see DOE 5631.1A).
    - (4) Institute an effective security infraction program and conduct administrative inquiries into serious security infractions reported.
    - (5) Conduct an annual review of the Top Secret document control program of each Headquarters organization.
    - (6) Maintain in individual's Personnel Security File copies of authorizations for access to Top Secret information.
  - a. Review and concur on exceptions to the provisions of this Order upon requests of Heads of Departmental Elements.
7. ASSISTANT SECRETARY, MANAGEMENT AND ADMINISTRATION (MA-1) has overall management responsibility for the Department's scientific and technical information program. Through the Director of Administration (MA-2), establishes policy in consultation with Heads of Departmental Elements for the management of the DOE scientific and technical information program.



- a. Manager of Scientific and Technical Information (MA-28), develops policy for the collection, processing, retrieval, announcement, distribution, and exchange of scientific and technical information. MA-28 obtains approval from cognizant Headquarters organizations to transmit classified scientific and technical reports.
  - b. Director of the Executive Secretariat (MA-29) processes:
    - (1) All National Security Council documents received and dispatched by DOE, with the exception of documents which contain sensitive compartmented information code word material, or documents submitted by the National Security Council or other Federal agencies to the Office of Classification (DP-32) for classification review.
    - (2) All classified documents for the Secretary, Deputy Secretary, and Under Secretary.
8. DEPUTY ASSISTANT SECRETARY FOR NAVAL REACTORS (NE-60) shall:
- a. Approve transmission of classified research and development reports concerning naval reactors, special features of naval reactors information (Category C-82 as defined in M-3679), and other classified documents containing nuclear technology derived from the Naval Reactors Program to Headquarters personnel, field elements, contractors, other Government agencies and their contractors, and to foreign nations.
  - b. Approve all information releases where a requirement exists for disclosing information concerning U.S. naval nuclear propulsion information to foreign nationals, foreign governments, or individuals representing a foreign interest.
  - c. Approve dissemination of naval nuclear propulsion information to U.S. industry, private individuals, or other private interests, except when required in performing of U.S. naval nuclear propulsion program work.
9. DEPUTY ASSISTANT SECRETARY FOR URANIUM ENRICHMENT (NE-30).
- a. Regarding documents containing isotope separation/gas centrifuge method information and technology/gaseous diffusion process information (Categories C-24 and C-52, as defined in M-3679):
    - (1) Authorizes access by managers of DOE field organizations when NE-30 has programmatic responsibility for the activity at that field organizations.

- (2) Upon request of any DOE element, approves the transmission of such information between jurisdictions of different field organizations or between field organizations and DOE Headquarters organizations.
- b. Authorizes access by employees of the DOE field organizations or a DOE contractor to uranium enrichment technology information not related to operations under the jurisdiction of the manager of the field organization concerned.
- c. Approves the transmission of documents containing uranium enrichment technology information to civilian employees of the Department of Defense, its contractors, or members of the Armed Forces, and to personnel of other Government agencies.
- d. Approves transmission to DOE Headquarters personnel, DOE field organizations and contractors, and other Government agencies and their contractors and to foreign nations of classified research and development reports containing isotope separation/gas centrifuge method information, technology/gaseous.

10. DIRECTOR OF NUCLEAR MATERIALS PRODUCTION (DP-13).

- a. Regarding documents containing technology/tritium production information, and plutonium information, as defined in M-3679, Categories C-57 and C-65.
  - (1) Authorizes access by managers of DOE field organizations when DP-13 has programmatic responsibility for the activity at that field organization.
  - (2) Upon request of any DOE element, approves the transmission of information described by subparagraph 10a, above, between jurisdictions of different field organizations or between field organizations and DOE Headquarters organizations.
  - (3) Approves transmission to DOE Headquarters personnel, DOE field organizations and contractors and to foreign nations, of classified research and development reports containing technology/tritium production information and plutonium production information (Categories C-57 and C-65).
- b. Advises the Manager of Scientific and Technical Information (MA-28) regarding the transmission of classified research and development reports containing production reactor engineering technology to foreign nations.

11. DIRECTOR OF ADVANCED TECHNOLOGY PROJECTS AND TECHNOLOGY TRANSFER (NE-35).
  - a. Approves transmission of classified research and development reports concerning the Advanced Isotope Separation Program and other classified documents containing technology derived from the program to DOE Headquarters personnel, DOE field organizations and contractors, other Government agencies and their contractors, and to foreign nations.
  - b. Approves the transmission of this information between jurisdictions of different field organizations or between field organizations and DOE Headquarters organizations.
  - c. Approves dissemination of this information to U.S. industry, private individuals, or other private interests.
12. HEADS OF FIELD ELEMENTS shall:
  - a. Ensure compliance with security procedures for safeguarding classified documents in accordance with the provisions of this Order.
  - b. Establish programs for the maintenance and accountability of classified documents and issue local implementing procedures.
  - c. Ensure that employees under their jurisdiction are aware of their responsibilities for the security of all classified documents and information entrusted to them.
  - d. Institute effective security infraction programs, determine actions to be taken, and ensure that contractors and other persons under their jurisdiction establish effective infraction programs.
  - e. Report immediately to DP-34 infractions that can have a major impact on the common defense and security and infractions that result in suspension of DOE or contractor employees or termination of their employment.
  - f. Obtain quarterly infraction reports from DOE and contractor organizations under their jurisdiction.
  - g. Obtain and submit to DP-34 annual unaccounted-for classified document reports from DOE and contractor organizations and other parties under their jurisdiction and ensure that a complete search is performed for unaccounted-for classified documents.
  - h. Submit reports to DP-34 immediately of unauthorized disclosures of classified information.

- i. Assign and discontinue code words and notify DP-34 of such actions.
- j. Notify DP-34 of Department of Defense code words in current use in offices under their jurisdiction.
- k. Approve, in writing, the transmission, removal, reproduction, and destruction of classified documents stored in Federal records centers.
- l. Establish limitations, based on sensitivity or other security considerations, on type and category of classified documents that are to be excluded from storage in Federal records centers.
- m. Request the approval of the Director of Safeguards and Security to transmit classified documents by other-than-prescribed means.
- n. Ensure the safeguarding of outside agency classified documents with at least those precautions prescribed for DOE documents and information of the same classification.
- o. Notify the Director of Safeguards and Security and the pertinent Government agency when a classified document originated by that agency is compromised or unaccounted for.
- p. Review and approve in advance of publication contractors implementing procedures for control of classified documents to ensure conformity and compliance with the provisions of this Order.
- q. Authorize, in writing, DOE and contractor employees and other persons under their administrative jurisdiction to carry Secret or Confidential documents outside security areas within the continental United States.
- r. Approve the transmission of Secret and Confidential documents originated by DOE and its contractors to other Government agencies and their contractors and to foreign governments and international organizations, deemed appropriate, and in accordance with applicable laws, orders, regulations, or other applicable guidance.
- s. Request the approval of the Director of Safeguards and Security for DOE and contractor employees on official Departmental business to carry Secret and Confidential documents to and from foreign countries.
- t. Reduce the volume of classified documents, or shall authorize retention or elimination of such documents on completion of work under contract, subcontract, or other agreement.

- u. Establish procedures to ensure that when DOE or contractor employees, or other persons under their jurisdiction, transfer or terminate their employment, or require extended leave for prolonged disability, that the classified documents entrusted to them be safeguarded, the accountability records checked, and all classified documents in possession or custody of the person returned.
- v. Designate, in writing, the personnel under their jurisdiction who have access authorization to Top Secret documents, the category of Top Secret access authorization and the time period for the authorization; copies of such authorization shall be maintained in the individual's Personnel Security File.
- w. Ensure the designation and appointment of Top Secret control officers and alternates as custodians and shall notify the Director of Safeguards and Security of the selection and position titles of the designees.
- x. Ensure that the conduct and submission to DP-34 of semiannual inventories of Top Secret documents are conducted and the report sent to DP-34.
- y. Notify DP-34 when a Top Secret authentication symbol becomes inactive.
- z. Notify DP-34 when a DOE and DOE contractor Top Secret document is authenticated, received, transmitted, reproduced, downgraded, declassified, or destroyed.
- aa. Notify DP-34 when outside agency Top Secret documents are received, transmitted, reproduced, downgraded, declassified, or destroyed.
- bb. Report immediately to DP-34 when Top Secret document cannot be accounted-for, is compromised, or may possibly be compromised.
- cc. Review Top Secret control practices of each organizational unit under their jurisdiction at least annually.
- dd. Establish procedures to ensure that all persons under their jurisdiction who possess an access authorization to classified information are required to sign a nondisclosure agreement, Standard Form (SF) 189 or 189A, "Classified Information Nondisclosure Agreement", as a precondition of access (see Attachments III-3 and III-4.)
- ee. Ensure that the management of laboratories and supervisory personnel at other facilities establish control procedures that limit unescorted access to automatic data processing centers, and comply with the provisions of Chapter XV.

- ff. Ensure a complete inventory of Secret documents is conducted at least once every 36 months and forward a report of the inventory to the Director of Safeguards and Security.
- gg. Submit to DP-34 for review and concurrence requests for exceptions to this Order.
- hh. Develop and forwards to DP-34 and the cognizant program office for review and consultation an alternative approach to providing equivalent levels of protection when site or program considerations make the strict implementation of the Order infeasible.

13. HEADS OF HEADQUARTERS ELEMENTS.

- a. Ensure that an effective program is instituted for the control and accountability of classified documents and that such access to classified documents is authorized on a need-to-know basis.
- b. Ensure that employees under their jurisdiction are aware of their responsibilities to safeguard and control classified documents and that employees who prepare and handle classified documents are given appropriate training in document control and accountability procedures consistent with the provisions of this Order.
- c. Notify DP-34 of Headquarters or Headquarters contractor personnel entering military service who have had access to Top Secret information or to one or more other categories of information considered sensitive.
- d. Assign and discontinue code words and notify DP-34 of such actions.
- e. Notify DP-34 of Department of Defense (DOD) code words in current use in offices under their jurisdiction.
- f. Assist in determining, as appropriate, whether the classified technical and programmatic information offered for exchange by a foreign country under U.S. and foreign exchange agreements is at least equivalent in benefit or value to the U.S. information proposed for transfer to the foreign country.
- g. Report immediately to DP-34 all security infractions, particularly those with a major impact on the common defense and security, and infractions that result in suspension of DOE or contractor employees or termination of their employment.

- h. Submit immediately reports of unauthorized disclosures of classified information to DP-34.
- i. Designate, in writing, personnel under their jurisdiction who have access authorization to Top Secret documents, the category of Top Secret access authorization and the time period for the authorization, and provide a copy of the written authorization to the Director of Safeguards and Security.
- j. Report immediately to DP-34 when a Top Secret document(s) cannot be accounted for, is compromised, or may possibly be compromised.
- k. Authorize, in writing, DOE and contractor employees and other persons under their administrative jurisdiction to carry Secret or Confidential documents outside security areas within the continental United States.
- l. Approve the transmission of Secret and Confidential documents originated by DOE and contractors to other Government agencies and their contractors, to foreign governments, and to international organizations, as deemed appropriate.
- m. Submit to DP-34 for review and concurrence requests for exceptions to this Order.
- n. Ensure a complete inventory of Secret documents at least once every 36 months and forward a report on the results of the inventory to the Director of Safeguards and Security.

CHAPTER II  
GENERAL PROVISIONS

1. SECURITY ORGANIZATION REQUIREMENTS.

- a. A clearly identifiable chain of responsibility for information security shall exist between the facility security organization's working level and its top management. The security organization shall be established at the organizational level necessary to ensure the compliance of all organizations with the facility's site security plan.
- b. Managers of security programs shall ensure that a documented and operational self-inspection program exists. Self-inspection shall be conducted annually to ensure that the objectives of the information security program are achieved.
- c. To ensure the operation of an effective information security program in accordance with the site security plan, the following program requirements shall be established:
  - (1) Security management and supervisory functions shall be staffed with knowledgeable individuals to ensure the operation of an effective information security program in accordance with the site security plan.
  - (2) The organization's management shall ensure that adequate resources are made available to implement and maintain the information security program.
  - (3) Individuals responsible for managing or implementing security programs shall focus adequately on security. Nonsecurity-related functions shall not detract from the classified information control function.
  - (4) Self-inspections shall address all previously noted deficiencies until they are corrected, as well as a representative sampling from all other applicable areas.
  - (5) A file of self-inspection results shall be maintained at the organization's security office. Findings and corrective actions or plans for action shall be approved within 30 days of the inspection.



## 2. CLASSIFIED PROGRAM MANAGEMENT.

- a. Heads of Departmental Elements responsible for programs requiring material and document control shall ensure that documented procedures are established and are approved by the element or facility security office before the start of such programs.
- b. New programs shall be reviewed to determine if the activities being performed are classified and therefore require material and document control. A determination shall be made to identify the level of classification required and the information shall be forwarded to the appropriate security office.
- c. All such existing programs shall be reviewed at least annually to determine whether the protection systems designed to safeguard classified material and documents are adequate.
- d. Facility management shall be involved in, and supportive of, all aspects of information security. Managers shall demonstrate an active involvement with and support for security activities and programs by regularly (at least annually) visiting and inspecting information security operations to ensure that operations are in compliance with existing standards and policies.
- e. Management shall ensure assures that information on security is included in the facility's protection program planning documents.

## 3. ACCESS TO CLASSIFIED INFORMATION.

- a. Access to classified information shall be granted only to authorized persons who possess the appropriate security clearance and who require the information in the performance of official duties or contractual obligations on a need-to-know basis. It is the responsibility of the individual disseminating classified matter to ensure that the recipient of the classified matter has the appropriate security clearance and need-to-know as defined in Attachment 2, page 7, paragraph 52. Access to classified information shall be based on DOE access requirements, as specified in DOE 5631 series.
- b. Access to Top Secret information shall be kept to a minimum and granted only properly cleared persons who require the information in the performance of official duties and who have been specifically designated in writing as requiring such access .

- c. Restricted Data may be furnished to employees of other Government agencies only upon the basis of certification in writing by, or in the name of, authorized officials of the agency requesting the information. Each certification shall include a brief statement of the scope of work for which the reports are requested and shall include: verification of appropriate security clearance for each person; a statement that each person needs and is authorized access to the reports in the performance of official duties; and a statement that the common defense and security will not be endangered by the access to be granted.
  - d. Restricted Data and Formerly Restricted Data shall be made available to foreign nations or regional defense organizations only under an agreement for cooperation entered into in accordance with sections 123 and 144 of the Atomic Energy Act of 1954, as amended.
4. TELEPHONE CONVERSATIONS. Classified information shall not be discussed over unencrypted or nonsecure telephone systems. No attempts shall be made to talk around classified information by using personally devised code words, nicknames, symbols, abbreviations, or paraphrasing to circumvent this provision.
5. CONFERENCES AND DISCUSSIONS. Heads of organizations responsible for hosting conferences or discussions that involve classified information will comply with the provisions of DOE 5632.4, Page II-17, paragraph 14, and shall:
- a. Ascertain prior to the conference or discussion that participating personnel have been positively identified, have proper clearance, and are otherwise authorized to have access to the information to be discussed. When practical or appropriate, DOE F 5631.20, "Request for Visit or Access Approval," or similar verification shall be used (see Attachment II-1).
  - b. Indicate to participating personnel whether classified information is involved and the classification level or category of information to be discussed.
  - c. Ensure that classified discussions are held only in areas that have been approved by DOE for such discussions.
  - d. Ensure that no discussion takes place within the hearing of persons not authorized to have access to the classified information.
  - e. Implement technical surveillance countermeasures in situations where such action is necessary or warranted.

6. RELEASE OF INFORMATION TO THE PUBLIC. Classified information shall not be released to the public until it has been formally and officially declassified by appropriate classification authority and its release is otherwise permitted by applicable law or regulation. Classified information inadvertently released will not be commented on to confirm or deny its accuracy.
7. CLASSIFIED INFORMATION ORIGINATED BY ANOTHER AGENCY. Classified information originated by another Government agency and furnished to DOE shall not be disseminated outside DOE without the consent of the originating agency.
8. DOE ORIGINATED CLASSIFIED INFORMATION FURNISHED TO OTHER GOVERNMENT AGENCIES. Classified information originated by DOE and furnished to another Government agency shall not be disseminated outside that agency without the consent of DOE.
9. CODE WORDS.
  - a. Selection and Use of Code Words.
    - (1) A code word shall have no discernible relationship to the item for which it is used.
    - (2) Code words shall not be used in any manner that might reveal their meaning to individuals who have no official need for the information.
    - (3) Code words shall not be assigned a second time nor shall they be used with more than one meaning. The list of available code words for use by the Department of Defense (DOD) shall be checked by the user to ensure that the code words are not used by DOE.
  - b. Reporting of Code Words. All code words originated by DOE shall be reported to DP-34 and include the following:
    - (1) The meaning assigned to the code word;
    - (2) The classification of the code word when used together with its meaning; and
    - (3) Dissemination made or intended for the code word.

c. Safeguarding of Code Words.

- (1) DOE code words shall be treated as information subject to limited dissemination in accordance with a need-to-know, as determined by responsible Heads of Departmental Elements.
- (2) Code words originated by the Department shall be safeguarded in accordance with the assigned classification and category. The classification level and category shall be included in parentheses immediately following the code word (e.g., "Label Confidential/NSI") each time the word is used. Such labels will always be used regardless of portion-marking requirements or waivers (see page III-5, Paragraph 4j).

d. USE OF MEANING. The meaning of a code word may be used together with the code word only when it is absolutely essential.

e. DISSEMINATION OF CODE WORDS. Code words and their meanings shall be disseminated only to individuals who require the information in the performance of their official duties or contractual obligations on a need-to-know basis.

f. RESPONSIBILITY OF THE ORIGINATOR. The originating office shall keep code words under continuous review. In cases of known or suspected compromise, or when the period for which a code word was assigned has expired, or when for any other reason the continued use is inadvisable, that office shall take immediate action to discontinue the code word.

10. TRANSFER OR TERMINATION OF EMPLOYMENT OR TERMINATION OF ACCESS AUTHORIZATION (See Attachment II-2).

a. Notification to Security Office. When a person with an access authorization transfers or terminates his or her DOE or contractor employment or when a person's access authorization is terminated, the responsible DOE or contractor security office shall be notified.

b. Assurance to be Obtained. On transfer or termination of employment of persons who possess an access authorization or on termination of an access authorization, the responsible security office shall ensure that:

- (1) Accountability records are checked and all classified documents in the possession or custody of the person who is being transferred or whose employment is being terminated are returned.

- (2) Badges, passes, and other official identification media are recovered.
- (3) The combinations are changed on any repositories to which the employee has had access.

c. Death, Disability or Non-Duty Status of Employee.

- (1) On the death of an employee, the following actions, at minimum, shall be taken:
  - (a) Prompt notification to the responsible security office;
  - (b) Check of all accountability records and return of all classified documents charged to the employee;
  - (c) Recovery and return of all badges, passes, and other items of official identification to the responsible security office;
  - (d) Prompt removal of the employee's name from all access and mailing lists; and
  - (e) Termination of the employee's access authorization.
- (2) Measures similar to those in paragraphs 10c(1)(a) through (e) above shall be employed in the case of employee disability or other absences of at least 90 days.

11. LIMITED OFFICIAL USE. A type of administrative controlled information originated by or for the Department of State. It covers material that may include information received from privileged sources and certain personnel, medical, investigative, commercial, and financial records. Such material shall be handled and stored according to Official Use Only security measures.

12. SENSITIVE COMPARTMENTED INFORMATION (SCI). Within DOE the SCI program is administered through the Office of Intelligence. The policy, controls, and procedures applicable to SCI facilities, information security and personnel security are contained in DOE 5639.8.

13. CONTROLS ON THE DISSEMINATION OF INTELLIGENCE INFORMATION BEARING THE DCI AUTHORIZED CONTROL MARKINGS. The policies, controls, and procedures herein are applicable to classified information that bears the DCI control markings.

- (1) Contractor personnel or representatives of other Federal agencies may witness the SF 189A signature. In either case the signed and witnessed form must subsequently be signed by a DOE employee as the acceptance individual. In instances where the witness is from the cognizant DOE office, he or she may also sign as the acceptance official.
  - (2) The use of the Security Debriefing Acknowledgment section of the SF 189A is optional. The use of this section does not replace the Security Termination Statement (Attachment II-2), currently required by DOE 5631. series.
12. SECURITY INFRACTIONS. An infraction is an act or omission involving failure to comply with Departmental safeguards and security directives.
- a. Examples of Infractions. The following actions represent instances wherein 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.
    - (1) Leaving of classified documents or material exposed and unattended or unsecured at the close of business or whenever a room is unattended;
    - (2) Improper storage of classified documents or material;
    - (3) Failure to safeguard or account for classified documents or material resulting in the compromise or unaccountability of the documents;
    - (4) Failure to maintain prescribed records for Top Secret or Secret documents;
    - (5) Removal of classified documents or material from a security area without proper authorization;
    - (6) Failure to properly mark a document after a classification determination has been made;
    - (7) Failure to obtain classification guidance thereby causing a compromise or possible compromise of classified information;
    - (8) Changing of a document's classification status without proper authorization;

- (9) Failure to properly safeguard combinations of repositories containing classified matter;
  - (10) Destruction of classified documents in other than the prescribed manner;
  - (11) Improper transmission of classified documents or material;
  - (12) Discussion of classified information in the presence or within hearing of unauthorized persons;
  - (13) Discussion of classified information over unencrypted or within nonsecure telephone systems;
  - (14) Failure to escort uncleared persons in security areas;
  - (15) Permitting an unauthorized person to hear, obtain visual access to, or otherwise obtain classified information; and
  - (16) Loss of pass or badge because of negligence.
  - (17) Failure to safeguard a computer access password.
  - (18) Leaving a computer workstation containing classified information or connected to a classified host computer unattended.
- b. Report of Security Infraction. DOE F 5630.13, "Report of Security Infraction" (Attachment II-5) shall be used to document security infractions and a copy of the report kept in the employee's personnel and security files.
- c. Records of Security Infractions. The responsible security office reporting security infractions and the local Departmental Element shall maintain records of each infraction, which shall include all pertinent facts associated with the infraction.
- (1) In the case of DOE employees, the disciplinary or corrective action shall be determined by the Heads of Departmental Elements in coordination with the Office of Personnel. Any disciplinary or adverse action in connection with a DOE employee shall be taken in accordance with DOE personnel policies and procedures (see DOE 3750.1, WORK FORCE DISCIPLINE).
  - (2) In the case of contractors and other persons under their jurisdiction, the disciplinary or corrective action shall be determined by appropriate management officials in accordance with the contractors' personnel policies and procedures.

- (3) In the case of military personnel and employees of other Government agencies assigned to DOE or DOE contractors, DOE or its contractor shall take corrective action and submit a report of infractions to the military organization or Government agency to which the employee is permanently assigned for whatever disciplinary action that that agency or organization deems necessary.
- d. Suggested Schedule of Disciplinary or Corrective Action. The nature and the severity of the security infraction should be considered in determining the appropriate disciplinary action. Some infractions may warrant more severe disciplinary actions than those shown below. The following schedule of disciplinary action is suggested for infractions occurring within any 12-month period. Security practices or procedures shall be reviewed and, if necessary, revised or developed to avoid recurrence. Normally, a first-level supervisory official will be responsible for initiating disciplinary action; as follows:
- (1) First Infraction. An interview shall be conducted with the person who committed the infraction to impress on that person the seriousness of the matter, to determine the reason for the infraction, to call attention to pertinent security Orders, and to modify office procedure, if necessary, to prevent a recurrence. The employee shall be scheduled to attend at a security indoctrination briefing. A copy of the infraction report shall be filed in the employee's personnel and security files for a minimum of 2 years.
  - (2) Second Infraction. An interview shall be conducted, followed by a written reprimand, warning the employee that another infraction may result in suspension without pay. A notation that the interview was held and a copy of the written reprimand shall be filed in the employee's personnel and security files for a minimum of 2 years.
  - (3) Third Infraction. An interview shall be conducted, followed by suspension without pay for 3 working days; the employee shall receive a written notification that a subsequent infraction could result in dismissal for cause. A notation that the interview was held and a copy of the suspension letter shall be filed in the employee's personnel and security files.



- (4) Subsequent Infraction. A determination should be made on whether the employee should be dismissed for cause. If the employee should not be dismissed, then other appropriate disciplinary action, such as additional suspension without pay, should be considered. The employee's personnel and security files shall be documented on the action taken.

e. Infraction Reports.

- (1) Heads of Departmental Elements shall submit written quarterly reports of infractions to DP-34 on their personnel, contractors, subcontractors, and other persons under their administrative jurisdiction by the 15th day of each January, April, July, and October.
- (2) Contractors and subcontractors shall submit written quarterly reports of infractions on their employees and other persons under their administrative jurisdiction to the Head of Departmental Element with contractual responsibility by the 5th day of each January, April, July, and October.
13. LIMITED OFFICIAL USE. A type of administrative controlled information originated by or for the Department of State. It covers material that may include information received from privileged sources and certain personnel, medical, investigative, commercial, and financial records. Such material shall be handled and stored according to Confidential level security measures.
14. SENSITIVE COMPARTMENTED INFORMATION (SCI). Within DOE the SCI program is administered through the Special Security Office of the Deputy Assistant Secretary for Intelligence, Defense Programs. The policy, controls, and procedures applicable to SCI facilities, information security and personnel security are contained in the SCI Procedural Guide referenced in Attachment 1, paragraph 22.
15. CONTROLS ON THE DISSEMINATION OF INTELLIGENCE INFORMATION BEARING THE DCI AUTHORIZED CONTROL MARKINGS. The policies, controls, and procedures herein are applicable to classified information that bears the DCI control markings. The procedures set forth in the Procedural Guide referenced in Attachment 1, paragraph 21, supplement this and other orders initiated by the DOE, Office of Safeguards and Security, Defense Programs.

REQUEST FOR VISIT OR ACCESS APPROVAL

DOE F 5631 20 (2-87) (Formerly DP-271)	<b>U.S. DEPARTMENT OF ENERGY</b> <b>REQUEST FOR VISIT OR ACCESS APPROVAL</b> <small>(Not to be used for temporary or permanent personnel assignments.)</small>	OMB Control No. 1910-1800						
<b>PART "A"</b>								
To:	Date:							
From:	Prepared by:							
	Symbol:							
	Telephone No. - Commercial:							
It is requested that the following person(s) be granted visit/access approval: <span style="float: right;">FTS.</span>								
<small>LAST NAME, FIRST, MIDDLE INITIAL AND SOCIAL SECURITY NUMBER</small>	<small>CHECK</small> <table border="1" style="width: 100%; border-collapse: collapse;"><tr><td style="width: 50%; text-align: center;"><small>U.S. CITIZEN</small></td><td style="width: 50%; text-align: center;"><small>ALIEN</small></td></tr></table>	<small>U.S. CITIZEN</small>	<small>ALIEN</small>	<small>DATE OF BIRTH</small>	<small>ORGANIZATION</small>	<small>TYPE CLEARANCE</small>	<small>CLEARANCE NO.</small>	<small>DATE OF CLEARANCE</small>
<small>U.S. CITIZEN</small>	<small>ALIEN</small>							
Copper, James S. 123-45-6789	X		8-12-52	DOE/DP- 343.3	"Q"	WA123456 8184		
Rainey, John C. 987-65-4321	X		7-23-55	DOE/DP- 343.3	"Q"	WA654321 3/82		

<small>NAME OF FACILITY(IES) TO BE VISITED:</small> Oak Ridge Operations Office (OR)	<small>FOR THE INCLUSIVE DATES</small> 1/20 - 23/88	<small>DOE Security Official Verifying DOE Clearance</small> DP 343.1/Mary L. Smith
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FOR THE PURPOSE OF:  
Review of Classified Document Control Programs & Procedures

TO CONFER WITH THE FOLLOWING PERSON(S):  
Bob Jones and Ben Jones Logan, Safeguards and Security Divisions

SPECIFIC INFORMATION WHICH ACCESS IS REQUESTED:  
All information necessary to complete Review

<small>Access requested to:</small>	<small>Access requested to:</small>
<small>Restricted Data</small>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<small>Other classified info</small>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Prior arrangements have/have not been made as follows:  
Bob Jones/OR is aware of the visit.

**CERTIFICATION FOR PERSONNEL HAVING DOD CLEARANCE**

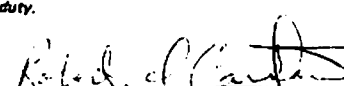
This certifies that the person(s) named above needs this access in the performance of duty, and that permitting the above access will not endanger the common defense and security.

Authorized access to Critical Nuclear Weapon  
Information (CNWDI) in Accordance  
with DOD Directive 5210.2 ☐ Yes ☐ No

<small>Name and Title, Requesting DOD Official</small>	<small>Signature</small>
<small>Title, Authorizing DOD Official (See DOD Directive 5210.2 and 5210.8)</small>	<small>(See AR 380-150; OCNVAV 5510.3F; AFR 2105-1)</small>

**CERTIFICATION FOR PERSONNEL HAVING DOE CLEARANCE**

This certifies that the person(s) named above needs this access in the performance of duty.

<small>Robert I. Carstens, Dir., Division of Security</small>	
<small>Title</small>	<small>Requesting DOE or Other Government Agencies</small>

**PART "B"**

Approval is granted with limitations indicated below:

Manager of Operations for Headquarters Division Director

SEE REVERSE OF PART B FOR PRIVACY ACT INFORMATION STATEMENT

SECURITY TERMINATION STATEMENTDOE F 5631.29  
(8-86)  
(Previously DP-136)OMB Control No.  
1910-1800James Forrestal Building  
(Facility or Installation Where Terminated)

U.S. DEPARTMENT OF ENERGY

SECURITY TERMINATION STATEMENT

NAME AND TITLE (Print all blocks) Robert S. Jones Security Specialist	EMPLOYER YOU ARE LEAVING U.S. Department of Energy
FUTURE RESIDENCE 123 Sleepy Hollow Way Relax, MD 12345	NAME AND ADDRESS OF FUTURE EMPLOYER:  None
REASON FOR TERMINATION: Retirement	
SOCIAL SECURITY NUMBER: 123-45-6789	DATE OF BIRTH: 8-26-23
DATE OF TERMINATION: 1-30-88	DOE NUMBER (IF KNOWN) Unknown

I make the following statement in connection with the forthcoming termination of my security clearance or access authorization granted by the Department of Energy:

1. I have destroyed in accordance with DOE security regulations or transferred to persons designated by the Department of Energy all classified documents and material which I was cleared or authorized to possess.
2. I shall not reveal to any person any Restricted Data, Formerly Restricted Data, or other classified information of which I have gained knowledge except as authorized by law, regulations of the Department of Energy, or in writing by officials of the Department of Energy empowered to grant permission for such disclosure.
3. I am aware that the Atomic Energy Act of 1954 and U.S. Code, Title 18, "Federal Criminal Procedures," prescribe penalties for unauthorized disclosure of Restricted Data, Formerly Restricted Data, and other information relating to the national defense.
4. I am aware that I may be subject to criminal penalties if I have made any statement or statements knowing that such statement is false or if I willfully conceal any material fact (Title 18, U.S. Code, Section 1001).
5. I know that the Department of Energy desires to be informed when former DOE or DOE contractor personnel enter the military service if they have had access to Top Secret information or classified information currently of material sensitivity to the national security.
6. I understand that the Department of Energy desires to be informed when persons who have been granted DOE access authorization propose to travel to communist countries. This does not apply to individuals who obtain DOE access authorization and receive access to Restricted Data or Formerly Restricted Data solely as employees of other Government agencies or their contractors.

(Normally, an individual will not be asked to forego any travel unless the travel is of such a nature as to be considered unwise from the standpoint of personal safety or there are special circumstances existing which would make such travel unwise from the standpoint of the national security. The DOE's security interest in such travel normally diminishes as the period of access to Restricted Data, Formerly Restricted Data or other classified information becomes more remote.)

[Signature]  
(Signature of Person Conducting Interview)

[Signature]  
(Signature of Person Whose Access Authorization is Being Terminated)

Security Specialist, Division of Security  
(Title of Position)

January 30, 1988  
(Date)

See reverse for Privacy Act Statement

CLASSIFIED INFORMATION NONDISCLOSURE AGREEMENT

CLASSIFIED INFORMATION NONDISCLOSURE AGREEMENT

An Agreement Between ROBERT K. SMITH and the United States  
(Name - Printed or Typed)

1. Intending to be legally bound, I hereby accept the obligations contained in this Agreement in consideration of my being granted access to classified information. As used in this Agreement, classified information is information that is either classified or classifiable under the standards of Executive Order 12356, or under any other Executive order or statute that prohibits the unauthorized disclosure of information in the interest of national security. I understand and accept that by being granted access to classified information, special confidence and trust shall be placed in me by the United States Government.

2. I hereby acknowledge that I have received a security indoctrination concerning the nature and protection of classified information, including the procedures to be followed in ascertaining whether other persons to whom I contemplate disclosing this information have been approved for access to it, and that I understand these procedures.

3. I have been advised and am aware that direct or indirect unauthorized disclosure, unauthorized retention, or negligent handling of classified information by me could cause irreparable injury to the United States or could be used to advantage by a foreign nation. I hereby agree that I will never divulge such information unless I have officially verified that the recipient has been properly authorized by the United States Government to receive it or I have been given prior written notice of authorization from the United States Government Department or Agency (hereinafter Department or Agency) last granting me a security clearance that such disclosure is permitted. I further understand that I am obligated to comply with laws and regulations that prohibit the unauthorized disclosure of classified information.

4. I have been advised and am aware that any breach of this Agreement may result in the termination of any security clearances I hold, removal from any position of special confidence and trust requiring such clearances, and the termination of my employment or other relationships with the Departments or Agencies that granted my security clearance or clearances. In addition, I have been advised and am aware that any unauthorized disclosure of classified information by me may constitute a violation or violations of United States criminal laws, including the provisions of Sections 641, 793, 794, 798, and 952, Title 18, United States Code, the provisions of Section 783(b), Title 50, United States Code, and the provisions of the Intelligence Identities Protection Act of 1982. I recognize that nothing in this Agreement constitutes a waiver by the United States of the right to prosecute me for any statutory violation.

5. I hereby assign to the United States Government all royalties, remunerations, and emolument that have resulted, will result or may result from any disclosure, publication, or revelation not consistent with the terms of this Agreement.

6. I understand that the United States Government may seek any remedy available to it under this Agreement including, but not limited to, application for a court order prohibiting disclosure of information in breach of this Agreement.

7. I understand that all information to which I may obtain access under this Agreement is now and will forever remain the property of the United States Government. I do not now, nor will I ever, possess any claim whatsoever to such information. I agree that I shall return all materials which have, or may have, come into my possession, custody, or control, to the United States Government or its representative because of such access, upon demand by an authorized representative of the United States Government or upon termination of my employment or other relationship with the Department or Agency that last granted me a security clearance. If I do not return such materials, I understand that this may be a violation of Section 793, Title 18, United States Code, a United States criminal law.

8. Unless and until I am released in writing by an authorized representative of the United States Government, I understand that all conditions and obligations imposed upon me by this Agreement apply during the time I am granted access to classified information, and at all times thereafter.

9. Each provision of this Agreement is severable. If a court should find any provision of this Agreement to be unenforceable, all other provisions of this Agreement shall remain in full force and effect.

10. I have read this Agreement carefully and my questions, if any, have been answered to my satisfaction. I acknowledge that the briefing officer has made available to me Sections 641, 793, 794, 798, and 952 of Title 18, United States Code, Section 783(b) of Title 50, United States Code, the Intelligence Identities Protection Act of 1982, and Executive Order 12356, so that I may read them at this time, if I so choose.

11. I make this Agreement without mental reservation or purpose of evasion.

SIGNATURE <i>Robert K. Smith</i>	DATE 06/06/1990	SOCIAL SECURITY NO. (See notice below) 123-45-6789
ORGANIZATION Physical Protection Branch, U.S. Department of Energy		

The execution of this Agreement was witnessed by the undersigned, who, on behalf of the United States Government, agreed to its terms and accepted it as a prior condition of authorizing access to classified information.

WITNESS AND ACCEPTANCE:

SIGNATURE <i>John Q. Public</i>	DATE 06/06/1990
ORGANIZATION Division of Security, U.S. Department of Energy	

NOTICE: The Privacy Act, 5 U.S.C. 552a, requires that federal agencies inform individuals, at the time information is solicited from them, whether the disclosure is mandatory or voluntary, by what authority such information is solicited, and what uses will be made of the information. You are hereby advised that authority for soliciting your Social Security Account Number (SSN) is Executive Order 9397. Your SSN will be used to identify you precisely when it is necessary to 1) certify that you have access to the information indicated above or 2) determine that your access to the information indicated has terminated. Although disclosure of your SSN is not mandatory, your failure to do so may impede the processing of such certifications or determinations.

**CLASSIFIED INFORMATION NONDISCLOSURE AGREEMENT**  
**(INDUSTRIAL/COMMERCIAL/NON-GOVERNMENT)**

OMB NO. 3090-0230

**CLASSIFIED INFORMATION NONDISCLOSURE AGREEMENT**  
**(INDUSTRIAL/COMMERCIAL/NON-GOVERNMENT)**

**AN AGREEMENT BETWEEN**

**JAMES W. WILLIAMS**

**AND THE UNITED STATES**

*(Name of Individual - Type or print)*


1. Intending to be legally bound, I hereby accept the obligations contained in this Agreement in consideration of my being granted access to classified information. As used in this Agreement, classified information is information that is classified under the standards of Executive Order 12356, or under any other Executive order or statute that prohibits the unauthorized disclosure of information in the interest of national security. I understand and accept that by being granted access to classified information, special confidence and trust shall be placed in me by the United States Government.
2. I hereby acknowledge that I have received a security indoctrination concerning the nature and protection of classified information, including the procedures to be followed in ascertaining whether other persons to whom I contemplate disclosing this information have been approved for access to it, and that I understand these procedures.
3. I have been advised and am aware that direct or indirect unauthorized disclosure, unauthorized retention, or negligent handling of classified information by me could cause irreparable injury to the United States or could be used to advantage by a foreign nation. I hereby agree that I will never divulge such information unless I have officially verified that the recipient has been properly authorized by the United States Government to receive it or I have been given prior written notice of authorization from the United States Government Department or Agency (hereinafter Department or Agency) responsible for the classification of the information that such disclosure is permitted. I further understand that I am obligated to comply with laws and regulations that prohibit unauthorized disclosure of classified information.
4. I have been advised and am aware that any breach of this Agreement may result in the termination of any security clearances I hold and removal from any position of confidence and trust requiring such clearances. In addition, I have been advised and am aware that any unauthorized disclosure of classified information by me may constitute a violation, or violations, of United States criminal law, including the provisions of Sections 641, 793, 794, and 798, Title 18, United States Code, and the provisions of the Intelligence Identities Protection Act of 1982. I recognize that nothing in this Agreement constitutes a waiver of the United States of the right to prosecute me for any statutory violation.
5. I hereby assign to the United States Government all royalties, remunerations, and emoluments that have resulted, will result or may result from any disclosure, publication, or revelation not consistent with the terms of this Agreement.
6. I understand that the United States Government may seek any remedy available to it to enforce this Agreement including, but not limited to, application for a court order prohibiting disclosure of information in breach of this Agreement.
7. I understand that all classified information to which I may obtain access by signing this Agreement is now and will forever remain the property of the United States Government. I do not now, nor will I ever, possess any right, interest, title, or claim whatsoever to such information. I agree that I shall return all materials which have, or may have, come into my possession or for which I am responsible because of such access, upon demand by an authorized representative of the United States Government or upon the conclusion of my employment or other relationship that requires access to classified information. If I do not return such materials upon request, I understand that this may be a violation of Section 793, Title 18, United States Code, a United States criminal law.
8. Unless and until I am released in writing by an authorized representative of the United States Government, I understand that all conditions and obligations imposed upon me by this Agreement apply during the time I am granted access to classified information, and at all times thereafter.
9. Each provision of this Agreement is severable. If a court should find any provision of this Agreement to be unenforceable, all other provisions of this Agreement shall remain in full force and effect.

*(Continue on reverse)*

**CLASSIFIED INFORMATION NONDISCLOSURE AGREEMENT  
(INDUSTRIAL/COMMERCIAL/NON-GOVERNMENT) (CONT.)**

10. I have read this Agreement carefully and my questions, if any, have been answered to my satisfaction. I acknowledge that the briefing officer has made available to me Sections 641, 793, 794, and 798, of Title 18, United States Code, the Intelligence Identities Protection Act of 1982, and Executive Order 12356, so that I may read them at this time, if I so choose.

11. I make this Agreement without mental reservation or purpose of evasion.

<b>SIGNATURE</b>  JAMES W. WILLIAMS	<b>DATE</b> 01/11/1999	<b>SOCIAL SECURITY NUMBER (See Notice below)</b> 123-45-6789
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CONTRACTOR, LICENSEE, GRANTEE OR AGENT NAME, ADDRESS AND, IF APPLICABLE, FEDERAL SUPPLY CODE NUMBER (Type or print)



J.W. Williams, Inc.  
1111 - 12th Place, NW  
Williamstown, FL 00011

WITNESS

ACCEPTANCE

THE EXECUTION OF THIS AGREEMENT WAS  
WITNESSED BY THE UNDERSIGNED.

THE UNDERSIGNED ACCEPTED THIS AGREEMENT ON  
BEHALF OF THE UNITED STATES GOVERNMENT.

<b>SIGNATURE</b>  Robert R. Reid	<b>DATE</b> 01/11/1999	<b>SIGNATURE</b>  Charles E. Smith	<b>DATE</b> 01/12/1999
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NAME AND ADDRESS (Type or print)

J.W. Williams, Inc.  
1111 - 12th Place, NW  
Williamstown, FL 00011

NAME AND ADDRESS (Type or print)

U.S. Department of Energy  
Oak Ridge Operations Office  
Office of Safeguards and Security  
Oak Ridge, TN 23456

**SECURITY DEBRIEFING ACKNOWLEDGMENT**  
(The use of this acknowledgment for security debriefings is optional.)

I reaffirm that the provisions of the espionage laws and other Federal criminal laws applicable to the safeguarding of classified information have been made available to me; that I have returned all classified information in my custody; that I will not communicate or transmit classified information to any unauthorized person or agency; that I will promptly report to the Federal Bureau of Investigation any attempt by an unauthorized person to solicit classified information, and that I (have) (have not) (strike out inappropriate word or words) received a final oral security briefing.

<b>SIGNATURE OF EMPLOYEE</b>	<b>DATE</b>
------------------------------	-------------

NAME OF WITNESS (Type or print)

SIGNATURE OF WITNESS

NOTICE: The Privacy Act, 5 U.S.C. 552a, requires that federal agencies inform individuals, at the time information is solicited from them, whether the disclosure is mandatory or voluntary, by what authority such information is solicited, and what uses will be made of the information. You are hereby advised the authority for soliciting your Social Security Account Number (SSN) is Executive Order 9397. Your SSN will be used to identify you precisely when it is necessary to 1) certify that you have access to the information indicated above or 2) determine that your access to the information indicated has terminated. Although disclosure of your SSN is not mandatory, your failure to do so may result in the denial of your being granted access to classified information.

REPORT OF SECURITY INFRACTION

DOE F 5630.13  
(1-84)  
(Previously DP-H184)

U.S. DEPARTMENT OF ENERGY

**REPORT OF SECURITY INFRACTION**

**Part I.—NOTIFICATION OF INFRACTION**

To Be completed by Office of Safeguards and Security and sent to Office concerned.

1. Office in which infraction occurred:  Office of the Controller	2. Date:  4-10-87
3. Nature of infraction:  Unsecured Security Container #123	

4. Details of infraction:

While on routine security patrol, Safe #123, located in Room 4A-111, Forrestal Building, was found in an open condition by Officer Smith, Jones Security Service, at 7:30 p.m., April 10, 1987. Attempts to contact the responsible individuals as listed on the SF 700, "Security Container Information", met with negative results. In addition, SF 702, "Security Container Check Sheet", has no entries for opening or closing the safe on 4-10-87. The safe was secured at 8:00 p.m., by the guard supervisor, Captain Smith.

**Part II.—RESPONSE CONCERNED**

To be completed by the Office in which infraction occurred and returned to Office of Safeguards and Security within 3 days after completion of the response above.

**EXAMPLE**

1. Name and title of person acknowledging responsibility:  Martha A. Williams, Administrative Assistant, Office of the Controller	
2. Highest classification of material involved:	Confidential <input type="checkbox"/> Secret <input checked="" type="checkbox"/> Top Secret <input type="checkbox"/>
3. Was "Restricted Data" involved? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	
4. Reason or cause for infraction: This safe is used to temporarily store documents by Ms. Williams in her day-to-day activities. On 4-10-87, she received several documents that were intended for other staff members who at the time were out to lunch. Ms. Williams opened the safe and placed the documents inside with the intention of giving them to the members on their return; however, the members did not return and the safe was not secured nor was the check sheet annotated.	
5. Corrective action taken (see reverse side for suggested disciplinary action): Ms. Williams has been interviewed by me regarding the serious nature of this matter and will take extra precautions in the future to prevent recurrence of incidents such as this. In addition, a system for checking this safe has been instituted. This will include someone verifying the safe is locked at the close of each working day.	
6. Signature of Office Director:  James J. Dallas	7. Date:  4-12-87

## CHAPTER III

### PREPARATION OF CLASSIFIED DOCUMENTS

#### 1. GENERAL.

- a. This chapter describes the various types of classified documents and how they are prepared, classified, and controlled. It includes information on transmittal, reproduction, change of classification, and destruction of classified documents.
- b. A minimum number of copies of classified documents shall be prepared consistent with operational necessity.
- c. Responsibility for the proper classification, preparation, issuance, and handling of classified documents rests with the originator and the document custodians who maintain control over all classified information charged to them, adhering to prescribed document procedures, including physical security requirements. All classified documents shall be continuously protected to prevent access by unauthorized persons.
- d. Should the classification status of a document be in doubt, the document shall be handled and protected as though it were classified pending review by an authorized classifier. The review for determining the classification of a document shall begin as soon as possible after the document is generated, regardless of whether the document is in a draft or final format.
- e. Draft documents believed to contain classified information shall not be removed from a security area or distributed outside of the Department until a review has been completed by an authorized classifier.

#### 2. NUMBERING PAGES.

- a. All pages of classified documents shall be sequentially numbered in Arabic numerals.
- b. The sequential numbering shall begin with the first page (cover, title, table of contents, etc.) and continue through the last page of text. The table of contents, enclosures, and attachments are included in the consecutive page numbering of classified documents. Back cover sheets will be marked, but not numbered or included in page count unless they contain text or information.



- c. Pages of documents prepared to contain text on one side (e.g., memoranda or letters) shall be numbered consecutively on that side, but blank pages or sides shall not be numbered or counted as part of the total number of pages.
- d. Pages of two-sided documents (e.g., bound documents) shall be numbered consecutively, whether pages contain text or are blank. Blank pages, including the back of the front cover, shall be marked, "This page intentionally left blank." This statement is required on all documents having one or more pages with text on both sides.

### 3. CLASSIFIED SUBJECTS OR TITLES.

- a. Classified subjects of memoranda and letters or titles of documents may be used only when it is impractical to use unclassified titles. This requirement exists because classified subjects or titles must not be used in mail logs and document receipts. Top Secret information shall not be included in a subject or title. When used, classified subjects or titles are followed by the appropriate abbreviated classification, as follows:

(SRD) for Secret Restricted Data;  
(SFRD) for Secret Formerly Restricted Data;  
(SNSI) for Secret National Security Information;  
(CRD) for Confidential Restricted Data;  
(CFRD) for Confidential Formerly Restricted Data; and  
(CNSI) for Confidential National Security Information

- b. If the subject or title of a classified document is unclassified, a (U)-marking is not necessary unless portion-marking is required (see page III-5, paragraph 4j.)

### 4. MARKING OF CLASSIFIED DOCUMENTS. At the time of classification, markings must be shown on all classified documents. (Attachments III-1 through III-13 are examples of the markings to be used on the various types of hard copies.)

- a. Identity of the Classifier. The name, title of position, and organization of the person authorizing the classification shall be placed on each document. The identity of the original classifier shall be shown by the marking, "Originally Classified By" and derivative classifier, if any, by the marking "Derivative Classifier." If the signer of a document is also its classifier, the word "signer" may be substituted for the name and title normally required on these markings.

- b. Date of Classification and Office of Origin. The date on a document at the time of its origination may be considered the date of classification if the document is also marked as classified on that day. If the document is marked on a day subsequent to its origination, the actual date of marking must be shown on the "Originally Classified By" line or the "Derivative Classifier" line. The office of origin is the office, division, or organization in which the originator is employed.
- c. Classification Level. Regardless of whether a document is permanently bound, the overall classification-level marking (Top Secret, Secret, or Confidential) of the document, shall be stamped or printed in legend (not typed) in ink and conspicuously marked at the top and bottom of the outside front cover, on the title page, on the first page, on the back page, and on the outside of the back cover at the time of preparation. All other pages of the document shall be marked or stamped at the top and bottom with the highest classification of information appearing on that page or, alternatively, with the overall classification of the document or the marking "UNCLASSIFIED" if the page contains no classified information. The minimum height of lettering in classification-level markings shall be 1/4 inch, except for cases in which exceptions are permitted, such as described on page III-10, paragraph 4p.
- d. Classification Category. The marking indicating the category, that is, the type of classified information--National Security Information, Restricted Data, or Formerly Restricted Data--shall be placed at the time of preparation on the cover and on the title page or on the first page of text if the document has no cover or title page, preferably on the lower left side. Attachments III-1 through III-11 show the various types of special markings and stamps in current use.
- e. Duration of Classification. In accordance with Executive Order 12356, National Security Information shall be classified as long as required by national security considerations. If a specific date or event for declassification can be determined, it shall be specified by the classification authority at the time of original classification. There is no time limit on the classification of Restricted and Formerly Restricted Data. No date or event for declassification should ever be indicated on a document containing Restricted or Formerly Restricted Data, even if the document also contains National Security Information.

f. Declassification Instructions for National Security Information.  
Declassification instructions shall be shown, as follows:

- (1) For information to be declassified on a specific date:  
"Declassify On: (date)."
- (2) For information to be declassified automatically on occurrence of a specific event: "Declassify On: (description of event)."
- (3) For information not to be declassified automatically:  
"Declassify On: Originating Agency's Determination Required or 'OADR'."

g. Automatic Declassification or Extension.

- (1) Declassification. A previous classifier's determination on automatic declassification of National Security Information shall remain valid, unless the classification is extended by an authorized classifier. Extensions may apply to individual documents or categories of information. However, requests to extend the classification of information on other than a document-by-document basis shall be submitted to the Director of Classification. Extensions approved by DP-32 will be reported to the Director of the Information Security Oversight Office.
- (2) Extension.
  - (a) Documents whose classification is to be extended beyond the original date or event given by the declassification or downgrading instructions shall be marked as follows:  
  
"Classification Extended By: (name of original classification authority or classification guide or other source document)." This shall be followed by a brief narrative of need for extension.
  - (b) Extension decisions on a document-by-document basis are limited to authorized classifiers who have classification authority over the information and are designated in writing to have original classification authority at the level of the information to remain classified.

h. Identification of Classifying Authority.

- (1) The identification of the authorized classifier(s) of each Restricted or Formerly Restricted Data document, regardless of whether the document is permanently bound, shall be typed or written in ink on the lower right side of the front cover and title pages, cover and first page if no title page, or first page if no cover or title pages. If the signer of a document is also its classifier, then the word "signer" may be substituted for the name and title required in the markings.
- (2) The identification of the authorized classifier of each National Security Information document shall be placed in the composite category stamp at the lower left corner of each document.
- (3) The "Derivatively Classified By" line on NSI documents shall contain one of the following as the source for classifying the documents: The name of the classification guide, the source document, or the original classification authority.
- (4) If the classification of a document is derived from more than one source, the words "Multiple Sources" may be used to complete the "Classified By" line, provided that identification of each source is maintained with the file or record copy of the document.

i. Dissemination and Reproduction Limitation. For classified information whose dissemination or reproduction has been limited by the originator, a statement specifying these restrictions shall be included on the cover sheet and title page, or the first page of text if there is no cover sheet or title page. (Refer to page III-7, paragraph 4o.)

j. Portion Marking or Notation.

- (1) Each originally classified document containing only National Security Information is required, by marking or other means, to clearly indicate which portions (e.g., paragraphs or pages) are classified and which are not classified. Portion-marking of text, when feasible, shall be accomplished by placing a parenthetical designator immediately preceding or following the text that it governs. The following symbols shall be used for this purpose.

- (TS) - for Top Secret National Security Information;
- (S) - for Secret National Security Information;
- (C) - for Confidential National Security Information; and
- (U) - for Unclassified Information.

- (2) If individual portion-marking as required above is impracticable, the document shall contain a description sufficient to identify the portions that are classified and the level of classification for each portion. Note: Refer to page III-7, paragraph 4o(2).
  - (3) Derivatively classified documents generated by DOE or its contractors are exempt from portion-marking in accordance with section 1.5(b) of Executive Order 12356 and the Assistant Secretary for Defense Programs (DP-1) waiver of 8-20-82.
- k. Foreign Government Information. Documents containing foreign government information shall include either the marking "Foreign Government Information" or a marking that otherwise indicates that the information is from a foreign government. If the origin of the information must be concealed then the marking shall not be used and the document shall be marked as if it were of U.S. origin.
- l. Documents Not Previously Marked. Appropriate classification markings shall be applied to all classified documents. Classified documents that require, but do not bear markings indicating declassification on a date or event or other required markings, shall be so marked. All such markings shall be added or verified for accuracy by an authorized classifier.
- m. Change of Classification.
- (1) On receipt of proper authorization to change the classification of a document, the person making the change shall line out the former classification level and/or category markings and place the following statement on the first page of the document:  
  

Classification changed to:  
(insert appropriate classification) by authority of (person  
authorizing change in classification, title or position,  
and date by signature of person making the change and the  
date).
  - (2) Changes of classification will normally require lining out the existing classification marking on each page of a document. However, if the document is bound, only the classification-level

marking that appears on the outside of the front cover, the title page, the first page of text, the last page of text, and the outside of the back cover needs to be lined out and replaced by the new classification level. Classification-level marking changes must be made on each page to be copied before bound documents or portions of bound documents with classification changes are copied.

- (3) The change of classification authorization marking is not required on documents subject to downgrading on the basis of specific downgrading instructions included on the face of the document (e.g., the "Downgrade to Confidential on 11-12-86" marking).

n. Declassification.

- (1) The person declassifying a document on receipt of proper authorization shall line out the classification-level marking and place the following statement on the first page of the document:

Classification Cancelled by Authority of:  
(person authorizing declassification, title  
or position, and date) by (signature of person  
making the change and date).

(NOTE: See DOE 5650.2A for specific procedures.)

- (2) Declassification of a document will normally require lining out the classification marking on each page of the document. However, if the document is bound, only the classification-level markings that appear on the outside of the front cover, the title page, the first page, the back page, and the outside of the back cover need to be lined out.
- (3) The "Classification Cancelled by Authority of" statement is not required on documents subject to declassification on the basis of specific declassification instructions on the face of the documents e.g., "Declassify on (specific date or event)".

o. Special Markings.

- (1) Special Markings are not classification levels but are used on certain classified and unclassified documents to indicate that the document has special access or handling requirements.

- (2) Listed below are the special markings more commonly found in DOE programs. This list is not all inclusive. Questions concerning other types of special markings should be referred to the Director of Safeguards and Security or Heads of Field Organizations or originator of the document. These markings also should be placed on title pages, cover sheets, and transmittal letters and memoranda.
- (a) ATOMAL. A North Atlantic Treaty Organization (NATO) term used to designate Restricted Data or Formerly Restricted Data provided by the United States to other NATO components under the NATO Agreement for Cooperation.
  - (b) Atomic. A term that refers to Restricted Data or Formerly Restricted Data before their incorporation in a NATO document or transmission to a NATO component.
  - (c) COSMIC - A term used together with the words "Top Secret" to designate NATO Top Secret information. It is not a classification but a special marking indicating specific procedures for handling and dissemination.
  - (d) Critical Nuclear Weapon Design Information (CNWDI). A DOD category of weapon data designating Top Secret or Secret Restricted Data revealing the theory of operation or design of the components of a thermonuclear or implosion-type fission bomb, warhead, demolition munition, or test device. (See DOE 5610.2.)
  - (e) Foreign Government Information (FGI). A marking specifying that the document contains foreign government information. However, if the origin of the information must be concealed, this marking will not be used.
  - (f) NATO. A document containing NATO classified information.
  - (g) Naval Nuclear Propulsion Information. In general, this term applies to all information, whether classified or unclassified, concerning the design, arrangement, development, manufacture, testing, operation, administration, training, maintenance, and repair of the propulsion plants of naval nuclear powered ships, including the associated nuclear-support facilities.
  - (h) No Contractor Dissemination (NO CONTRACT). This term indicates that the information contained in the document must not be released to contractors or consultants.

- (i) No Foreign Dissemination (NOFORN). This term indicates that the information contained in the document must not be released to foreign nationals or any parties representing foreign interests, nor shall it be released to members of the public, because this is considered to be tantamount to foreign disclosure.
- (j) Nuclear Weapon Data. Category Sigma (see Sigma Category and Weapon Data below.)
- (k) Originator Controlled (ORCON). ORCON indicates that documents bearing the marking are controlled by the originator. Reproduction or redistribution of such documents require the permission of the originator.
- (l) Production Rate or Stockpile Quantity Information. Classified data related to production rates of weapons or weapon components or to stockpile quantities of weapons or weapon components.
- (m) Scientific and Technical Report (also referred to as research and development report). This term applies to formal, topical, or progress reports, recurrent or summary, which present technical information and data to fulfill the various DOE research and development requirements and which are categorized and distributed by the Office of Scientific and Technical Information (MA-28).
- (n) Sensitive Nuclear Material Production Information. This term relates to classified production rate or stockpile quantity information concerning plutonium, tritium, enriched lithium-6, uranium 233, and U-235. The term also includes gaseous diffusion technology or classified gas centrifuge technology and laser isotope separation.
- (o) Sigma Category. This term refers to restricted Data or Formerly Restricted Data specifically defined in 10 separate categories that concern the design, manufacture, or use of atomic weapons or nuclear explosive devices.
- (p) Warning Notice-Intelligence Sources or Methods Involved (WNINTEL)I. Applies to documents that contain information relating to intelligence sources or methods.



- (a) Weapon Data. Weapon data are Restricted Data or Formerly Restricted Data concerning the design, manufacture, or use (including theory, development, storage, characteristics, performance, and effects) of nuclear weapons or nuclear weapon components, including information incorporated in or related to nuclear explosive devices.

p. Marking Special Kinds of Documents.

- (1) Files, Folders, or Groups of Documents. These types of documents shall be marked conspicuously to ensure the level of protection required for the most highly classified document they contain, or with a higher classification level if warranted by the assemblage. Documents in the file, folder, or group shall be marked in accordance with the requirements for individual documents.
- (2) Memorandum or Letter of Transmittal (see Attachment III-12).
  - (a) Marking.
    - 1 The classification-level and category marking on the first page of a memorandum or letter of transmittal shall be at least as high as that of the most highly classified document transmitted. Other pages shall have classification-level markings that apply to their contents. Other markings shall be applied on the first page only if the memorandum or letter of transmittal in itself contains classified information.
    - 2 Memorandums or letters of transmittal that are unclassified shall contain notations in the lower left corner on whether the classified documents forwarded contain National Security Information, Restricted Data, or Formerly Restricted Data.
    - 3 Memorandums or letters of transmittal that contain only National Security Information shall contain notations in the lower left corner indicating when the documents transmitted contain Restricted Data or Formerly Restricted Data.

(b) Documentation. Memorandums or letters of transmittal containing Top Secret or Secret information shall be documented. If they do not contain such classified information but are marked Top Secret or Secret because of the classification of the documents forwarded, they shall not be documented (see page III-21, paragraph 6).

(c) Additional Markings.

1 If the memorandum or letter of transmittal does not contain National Security Information, Restricted Data, or Formerly Restricted Data but the enclosures do, one of the following notations, as appropriate, shall be placed on the first page in the lower left corner:

a "Document transmitted herewith contains NATIONAL SECURITY INFORMATION";

b "Document transmitted herewith contains RESTRICTED DATA"; or

c "Document transmitted herewith contains FORMERLY RESTRICTED DATA."

2 If the transmittal correspondence is not classified or is of a lower classification level and category than the level of classified information being transmitted, the following notation shall be placed in the lower right-hand corner of the first page:

"When separated from enclosures, handle this document as (insert proper classification or that it is unclassified)".

(d) The recipient may remove or change the classification markings on the memorandum or letter of transmittal as indicated without further authorization if it is to remain separated from the classified document(s) transmitted.

(e) Copies of transmittal correspondence retained in the originating office shall be marked in the same manner as the original transmittal letter or memorandum regardless of whether they contain enclosures.

- (3) Master Copies for Reproduction of Secret Documents (see Attachment III-13). Master copies of all documents, including reproductions, shall be documented as "copy 1 of 1," "series MC," (original master copy) for copies made from the master copy.
- (4) Viewgraphs (See Attachment III-14).
- (a) The first viewgraph in a series shall contain the classification level at the top and bottom and the category marking in the lower left corner, of the projected image. Succeeding viewgraphs need only contain the classification level at the top and bottom of each viewgraph. If only one viewgraph is prepared, it shall be marked in the manner as the first viewgraph in a series.
  - (b) The classification level (in letters not less than 1/4 inch) shall appear at the top and bottom of each frame of each individual viewgraph.
  - (c) Documentation of viewgraphs containing Top Secret or Secret information shall be documented in accordance with procedures contained on page III-21, paragraph 6, or serially numbered to identify individual copies (e.g., "No. 1 of 8 Viewgraphs, Series A").
- (5) Photographic Slides, Negatives, and Prints (See Attachment III-15).
- (a) Marking.
    - 1 The classification-level marking shall be conspicuously placed as follows:
      - a On photographic slides and flat negatives, at the top and bottom on both sides;
      - b On photographic negatives in roll form, at the beginning and end of each roll; and
      - c On photographic prints, at the top and bottom of both sides.
    - 2 Letters of not less than 1/4 inch high shall be used except when the size of the slides, negatives, or prints makes this impractical. If the slides,

negatives, or prints are too small to be marked on the face side, the marking may be included on the reverse side or affixed by pressure-tape label or other comparable means.

- 3 The words "National Security Information," "Restricted Data," or "Formerly Restricted Data" may be used in lieu of the full text of the classification category markings, or the abbreviations "NSI," or "RD," or "FRD" and the abbreviation of the downgrading or declassification notation. These markings shall be placed at the bottom of the front side of photographic slides, flat negatives, and prints and after the classification-level marking at the beginning and end of each roll of photographic negatives.
- 4 Photographic negatives in roll form shall contain the identity of the original or derivative classifier immediately following where the classification category appears at the beginning of the roll.
- 5 Records maintained in connection with slides, flat negatives, and prints shall identify the classifier(s) and the source of classification authority.
- (b) Documentation. Photographic slides, flat negatives, or prints containing Top Secret or Secret information shall be documented or serially numbered to identify individual copies (e.g., "No 1 of 8 slides, Series A"). On the photographic negatives in roll form, the number of negatives shall be included. The documentation or serial number shall be placed at the top or bottom of the front of photographic slides, flat negatives, and prints, and after the markings or wording or abbreviation used at the beginning of each roll of photographic negatives.
- (6) Charts, Maps, and Drawings (see Attachment III-16).

  - (a) Marking. The classification-level marking shall be placed at the top and bottom as well as under the legend, title block, or scale. The other markings and identity of the original classifier following the words "CLASSIFIED BY" and derivative classifier following the words "Derivative Classifier," declassification date, and downgrading date, if applicable, shall be placed at the bottom of the chart, map, or drawing unless the chart, map, or drawing is incorporated in a document.

- (b) Documentation. Documentation shall be applied in the upper right-hand corner, where appropriate.
- (7) Motion Picture Film and Video Tapes (see Attachment III-17). The classification-level and category markings; the declassification or downgrading and documentation markings, if applicable; and the identity of the authorized classifier shall appear at the beginning of each reel or tape on the projected image for a minimum of 5 seconds. The classification-level markings shall appear on the projected image at the end of each reel or tape for a minimum of 3 seconds. Reels shall be kept in marked containers when not affixed to a projector. Video cassettes shall also contain appropriate-level and category markings. Running time, rather than page count, will be used to complete the "pages" blank of the documentation stamp.
- (8) Microfilm Reels (see Attachment III-18). Each microfilm reel shall have on its face the classification-level marking and classification-category marking or the words National Security Information, Restricted Data, or Formerly Restricted Data, and the declassification marking and downgrading marking, if any, or abbreviation of the declassification marking and downgrading marking. The documentation stamp shall be on the label of films and cassettes. Running time, rather than page count, will be used to complete the "pages" blank of the documentation stamp.
- (a) The first image shall contain the classification-level and category markings or the words National Security Information, Restricted Data, or Formerly Restricted Data, declassification marking and downgrading marking, if applicable, or abbreviations of the declassification marking and downgrading marking.
- (b) The second image shall contain the reel number, which consists of the prefix "MF" (for microfilm), the originating office symbol (e.g., "HQ"), the organizational unit responsible for originating the microfilm reel (e.g., "CON" for the "Office of Controller"), and the number of the particular microfilm reel in a numerical sequence. Example: The first reel originated for the Office of Controller, Headquarters, would be "MF - HQ - CON - 1"; the second, "MF - HQ - CON - 2"; and so forth.
- (c) The third image contains the reduction ratio used in microfilming the documents.

- (d) The fourth image preceding the end of the reel is the index of the documents microfilmed, which shall identify the office preparing the microfilm, the reel number and identity of each document or general description of the documents microfilmed, and the classification level and category of each document or of the highest level of information contained in all of the documents microfilmed.
  - (e) The end of each reel shall contain the classification level and classification category.
  - (f) Secret, Confidential, and unclassified documents may be photographed on the same reel. Top Secret documents shall not be photographed on reels containing documents of a lower classification or containing unclassified documents.
- (9) Aperture Cards (see Attachment III-19).

- (a) Use. Aperture cards shall be used only for Secret, Confidential, or unclassified images. Red-colored stock shall be used only for classified aperture cards.

Classified cards shall have no corner cuts. The upper left corner of unclassified cards shall be cut. These measures will assist in the recognition of classified cards when commingled with unclassified cards.

- (b) Marking.

- 1 The classification-level marking shall be placed near or above the microfilm image on the face of the aperture card. The words "National Security Information," "Restricted Data," or "Formerly Restricted Data" shall be placed below the microfilm image.
- 2 If the volume of transactions prevents marking cards according to the above description, cards containing codes for classification-level and other markings shall be used. The fact that this information is coded shall be indicated by the wording "Confidential or Secret as Coded in Col. 52" (or the other number of the appropriate column) preprinted or otherwise marked on the face of the card.

- 3 When the procedure in subparagraph 2, above, is used, the appropriate code shall be punched and printed into the designated column as follows:

C - Confidential National Security Information;  
E - Confidential Restricted Data;  
F - Secret Restricted Data;  
H - Confidential Formerly Restricted Data;  
J - Secret Formerly Restricted Data;  
L - Secret Restricted Data - Critical Nuclear  
Weapon Design Information; and  
S - Secret National Security Information.

- (c) Documentation. The drawing number, issue letter, and deck number may be used in place of customary documentation.
- (d) Microfilm Image. The microfilm image of a drawing, blueprint, chart, or other such configuration appearing on the aperture card shall contain the classification-level marking, classification category, and documentation if required, and the name(s) of the classifier(s), declassification notation, and downgrading notation, if any, in reduced size.

(10) Punch Cards (see Attachment III-20).

- (a) Use. Punch cards may be used for classified information; however, a distinctively colored stock card shall be used, whenever practical, for decks containing classified information. Each deck of punch cards shall be considered a separate document. Each card in decks containing classified information at the secret or above level shall be numbered in sequence.
- (b) Marking. Punch cards shall contain classification-level and other markings, which normally will be preprinted. The classification-level marking is required in only one position on each card. Each punch card shall contain the classification-level and other markings and notations required by the information in the deck or on the individual card, except as indicated below.
- (c) Records shall be maintained to identify the classifier(s) of decks of punch cards and date of declassification and downgrading, if applicable.

- 1 In situations where the nature of transactions in an automatic data processing (ADP) center would make it burdensome to determine the markings applicable to new decks prepared from existing decks, all punch cards in the new decks may be marked with the highest classification-level and category and other markings applicable to the data contained in the original decks. For example, if National Security Information and Restricted Data are contained in an existing deck and the highest classification of information is Secret, all punch cards in a new deck created from the existing deck shall be marked Secret Restricted Data.
  - 2 The actual classification-level and other markings and notations applicable to the new decks shall be determined and all cards shall contain the proper markings and notations prior to transmission outside the security area.
  - 3 In the case of unmarked punch cards prepared before 2-19-63, the date on which the marking of punch cards was first required, the appropriate markings and notations shall be placed on the drawers containing such cards or on a face card at the beginning of each deck. When decks containing these cards change custody, face cards containing the appropriate markings and notations shall be added.
- (d) Documentation. Documentation of punch cards is not required. However, receipts used in the transmission of Secret decks shall state the number of cards forwarded. When punch cards are compiled (e.g., placed in a box) a card or sheet of paper shall be placed on the face of the deck indicating the title or subject matter, the classification level, whether they contain National Security Information, Restricted Data, or Formerly Restricted Data, appropriate declassification data, as well as the name, title of position, and organization of the classifier(s).
- (11) ADP Software and Covers (see Attachment III-21). Classified computer diskettes, cassettes, and other removable storage media shall bear appropriate classification markings, as shall their covers or containers. Documentation markings shall be



placed on diskettes or cassettes and shall also be "No. 1 of 1" with appropriate series. Documentation markings are not mandatory for containers or covers.

(12) Printouts.

(a) Usage. Printouts may be used for any classified information (i.e., Top Secret, Secret, or Confidential).

(b) Markings.

- 1 Printouts shall contain the classification-level and category and other markings and notations, as in the case of other paper documents, and shall be documented in the same manner.
- 2 The classification marking shall be placed in letters not less than 1/4 inch in height or placed conspicuously in upper case letters standard to the ADP equipment at the top and bottom of all pages of text. If ADP equipment is used to print the markings, there shall be a line feed space between the classification-level marking and the text. Additional classification-level markings shall be applied to the outside of the front and back covers, if any, and to the first page of text. The other markings and notations shall be placed on the front cover, if any, and on the first page of text.
- 3 The documentation shall be placed in the upper right-hand corner of the first page of text. Documentation need only be applied to printouts when they leave an automatic data processing center.

(13) Recordings.

- (a) Marking. The level of classification and classification category (NSI, RD, or FRD) shall be stated verbally at the beginning of any recording prior to the discussion of the subject matter and at the end of the discussion. The classification-level and other markings, for example, "Restricted Data," "Formerly Restricted Data," or "National Security Information;" the declassification marking and downgrading marking, if applicable; or abbreviation thereof and the identity of the

classifier(s) shall be applied by adhesive tape or similar material to the face of the recording. Containers shall be marked as in paragraph 4p(14)(a), below.

- (b) Documentation shall be placed on the recording label and media cover/envelope and shall be marked "No. 1 of 1" with pages showing recording time.

(14) Word Processor Disks (Floppy Disks and Removable Hard Disks)  
(Attachment III-22).

- (a) The diskette and diskette folder and/or hard disk shall be marked at the top and bottom, front and back, with the classification-level markings equivalent to the highest level of information contained on the disk. The category marking shall be placed in the lower left corner of the diskette and folder. Documentation markings are not mandatory for diskettes or folders.
- (b) If a label is placed on the disk or folder to identify the individual documents contained on the disk, the appropriate portion markings designators (see page III-2, paragraph 3) shall be parenthetically placed after the title of the document it governs.
- (c) The manufacturer's label on the disk shall be marked with classification markings equivalent to the highest classification level of information contained on the disk.
- (d) The disk file folder or box shall be marked in accordance with (c) above (e.g., files or folders containing classified documents).
- (e) If a label is placed on the disk or file folder to list or identify the individual documents contained on the disk, the appropriate portion marking designators identified for portion-marking shall be parenthetically placed after the document it governs.

(15) Microfiche (see Attachment III-23). The highest level of classification, or a higher level of classification if warranted by assemblage or compilation, and most restrictive

category of classified information contained on the microfiche shall be photographically recorded at the top of the film in the space provided in the title area as well as in the first and last image of each document reproduced. Documentation, if necessary, shall be placed under the category marking and shall consist of a prefix letter "Y" to indicate microfiche followed by the series designator (e.g., A, B, or C), originating office, region, or contractor acronym (e.g., ADM, RI), number of the particular microfiche, and total number of microfiche originated in the series.

Example: "Y-A-ADM - 1 of 6," "Y-C-RI - 5 of 5."

Information recorded in the title area is large enough to be read without magnification. In situations where eye-legible classification information cannot be photographically recorded at the top of the film (header), an adhesive-type label identifying the highest level of classified information contained therein shall be affixed to the top of all classified microfiche. Each image of the microfiche shall be appropriately marked to reflect the type of information contained therein (e.g., Unclassified, Confidential) and shall contain other classification markings, as appropriate. Any files, folders, or envelopes used to house the microfiche shall be appropriately marked.

(16) Containers.

(a) Markings. Except for shipping containers, each container of photographic prints, negatives, slides, video tapes, or motion picture film shall have on its face the classification level, category, and other special markings or the words National Security Information, Restricted Data, or Formerly Restricted Data, and abbreviation of the declassification marking and downgrading marking, if applicable, and identity of the classifier(s).

(b) Documentation is not required for such containers.

(17) Compilations. A compilation of several existing documents shall be treated as a new document and marked and documented accordingly.

- (18) Draft Copies and Worksheets. Draft copies and worksheets of documents containing classified information shall be marked with the appropriate classification level and category of information contained in the document. Draft copies and worksheets of documents classified Secret or above need not be documented unless they are sent outside of the office preparing them or are retained for more than 60 days after preparation of the final document or are reproduced. When documentation is required on draft copies, they shall be marked "Draft 1," "Draft 2," "Worksheet 1," "Worksheet 2," and so forth. Drafts and worksheets shall be appropriately destroyed as soon as the final copy has been prepared, unless special circumstances require their retention.
- (19) Documents Pending Review. Documents that the originator believes to be classified but that cannot be immediately reviewed by an authorized classifier shall have all the necessary markings placed on them. Additionally, the caption "Markings Affixed to this Document Remain Effective Pending Review by an Authorized Classifier" will be placed in the lower right-hand corner of the first page of the text. Such documents shall undergo classification review within 30 days of origin, and the authorized classifier will be specifically identified, subsequent to such a review, on the first page of the text.

5. CLASSIFIED MESSAGES.

Requirements and procedures for handling classified messages are described in DOE 1325.1A, Chapter V. For the convenience of individuals who must prepare classified messages, Attachments III-24 and III-25 illustrate the correct markings (DOE F 1325.7, "Telecommunication Message").

6. DOCUMENTATION. All Top Secret and Secret documents shall be documented. Documentation consists of a statement of the number of pages, copies, and unique number series designated for each copy or set of copies of a newly originated or reproduced document.
- a. The documentation statement shall be placed, in ink, on the upper right-hand corner of the cover or on the first page of text if there is no cover, such that the wording is not mutilated if an unbound document is inserted in a file jacket or other covering.

- b. Each set of copies prepared is a series and is designated by a capital letter. The original set is Series "A," the next reproduced series is "B," and so forth. For the first of three copies of the original set of a 5-page document, the documentation should read as follows:

(Unique) Document number \_\_\_\_\_  
This document consists of 5 pages  
No. 1 of 3 copies, Series A.

(Note: See paragraph 4p(3) for information on proper documentation for master copies).

- c. An abbreviation of the Departmental Element, contractor, or subcontractor receiving a Secret document from an outside agency may be used in conjunction with the series designation where transmission of more than one copy is indicated. For example:

(Unique) Document number \_\_\_\_\_  
This document consists of 5 pages  
No. 1 of 3 copies, Series OSS - A

- d. Documentation of Confidential documents is not required.

7. CLASSIFIED COVER SHEETS. A classified cover sheet shall be placed on the face of each copy of a classified document immediately after preparation and shall remain on the document at all times while in custody of DOE, its contractors, or subcontractors. A cover sheet shall be used unless clearly impractical.

- a. Top Secret Documents. See Chapter XI.
- b. Secret Documents. An SF-704, "Secret Cover Sheet" (see Attachment III-26), shall be placed on the face of each copy of a Secret document immediately after preparation and shall remain attached until the document is destroyed. At the time of destruction, SF-704 is removed and, depending on its condition, reused.
- c. Confidential Documents. An SF-705, "Confidential Cover Sheet" (See Attachment III-27), shall be affixed to Confidential documents as stated in Paragraph 7b above.
- d. Documents Containing Restricted Data. A DOE F 5635.12, "This Document Contains Restricted Data" (see Attachment III-28), shall be affixed to the top of, and over the face of, the standard form cover

sheet for documents that contain Restricted Data and shall remain attached until the document is destroyed. Care shall be exercised when affixing DOE F 5635.12 over the face of the standard form cover sheet to ensure that the classification level of the document is not obscured. At the time of destruction of this document, DOE F 5635.12 is removed and, depending on its condition, reused.

8. Foreign Classification Markings. Foreign security classification systems are not exactly parallel to the U.S. system and equivalent classifications cannot be given. However, comparable designations are used specifying degrees of protection and controls that are similar to those prescribed for equivalent U.S. Classifications (see Attachment III-29). (See 32 CFR 2001.5 (e)(4) for additional information as appropriate.)

CURRENT MARKINGS

(To Be Placed on Classified Documents)

1. Classified by James Jones  
(Original Authority)
2. Derivative  
Classifier: James Jones, Chief Policy Division  
(Name and Title)
3. TOP SECRET, SECRET, CONFIDENTIAL
4. NATIONAL SECURITY INFORMATION  
  
Unauthorized disclosure subject to administrative and criminal sanctions.
5. RESTRICTED DATA  
  
This document contains Restricted Data as defined in the Atomic Energy Act of 1954. Unauthorized disclosure subject to administrative and criminal sanctions.
6. 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, as amended.
7. Declassify  
or on 12/25/90  
Downgrade (Date of Event)
8. WARNING NOTICE - INTELLIGENCE SOURCES OR METHODS INVOLVED
9. Reproduction or further dissemination requires approval of originator.
10. Downgrade to Confidential ON 7/23/89.

11. The following are acceptable combinations of markings that may be used to save space in cases where the markings included are appropriate:

a. NATIONAL SECURITY INFORMATION

Unauthorized disclosure subject to administrative and criminal sanctions.

Classified by James Smith  
(Original Authority)

Derivative  
Classifier: John Doe, Chief of Security Branch  
(Name and Title)

Declassify on: OADR  
(Date, Event, or OADR)

b. NATIONAL SECURITY INFORMATION

Unauthorized disclosure subject to criminal and administrative sanctions.

Originally classified by: John Doe  
(Name)  
Chief Security Branch  
(Title)

Declassify on: 4/1/89  
(Date, Event, or OADR)

c. NATIONAL SECURITY INFORMATION

Unauthorized disclosure subject to criminal and administrative sanctions.

Derivative Classifier: John Doe  
(Name)  
Chief Security Branch  
(Title)

Declassify on: 4/1/89  
(Date, Event, or OADR)

Derivatively classified by: GC-12  
(Guide or Source Document)



BOUND DOCUMENTS  
CONFIDENTIAL NATIONAL SECURITY INFORMATION

**FRONT COVER OR  
TITLE PAGE**

CONFIDENTIAL

CLASSIFICATION FOR  
EXHIBIT PURPOSES ONLY

CONFIDENTIAL

**FIRST PAGE**

CONFIDENTIAL

CLASSIFICATION FOR  
EXHIBIT PURPOSES ONLY

CONFIDENTIAL

**BACK OF LAST PAGE OR  
BACK COVER**

CONFIDENTIAL

CLASSIFICATION FOR  
EXHIBIT PURPOSES ONLY

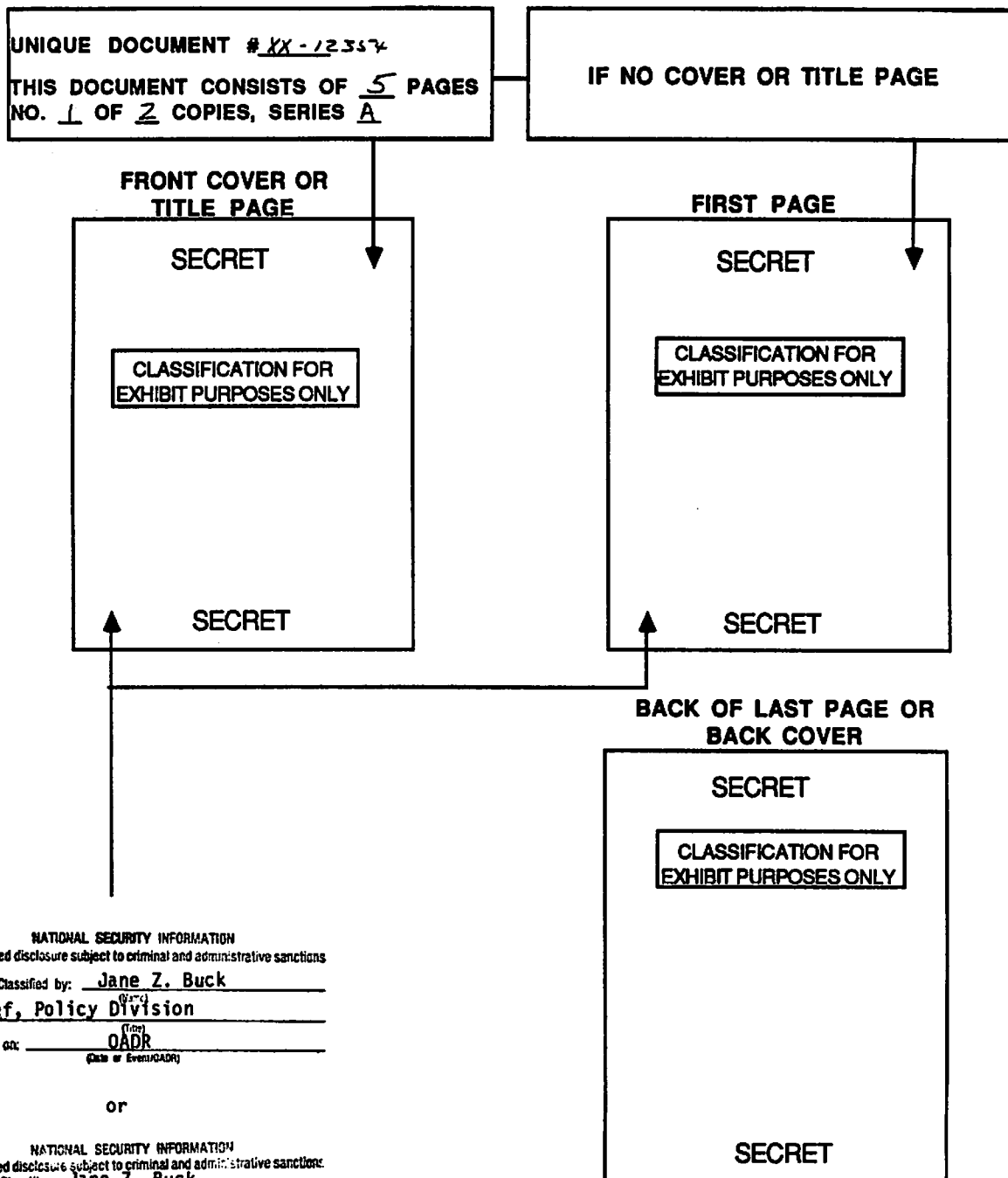
CONFIDENTIAL

NATIONAL SECURITY INFORMATION  
Unauthorized disclosure subject to criminal and administrative sanctions  
Originally Classified by: Jane Z. Buck  
Chief, Policy Division  
Declassify on: OADR  
(Date or Event/OADR)

or

NATIONAL SECURITY INFORMATION  
Unauthorized disclosure subject to criminal and administrative sanctions  
Derivative Classifier: Jane Z. Buck  
Chief, Policy Division  
Declassify on: October 12, 1990  
(Date or Event/OADR) GEN-12  
Derivative Classified by: \_\_\_\_\_  
(Date or Event/OADR)

**BOUND DOCUMENTS**  
**SECRET NATIONAL SECURITY INFORMATION**

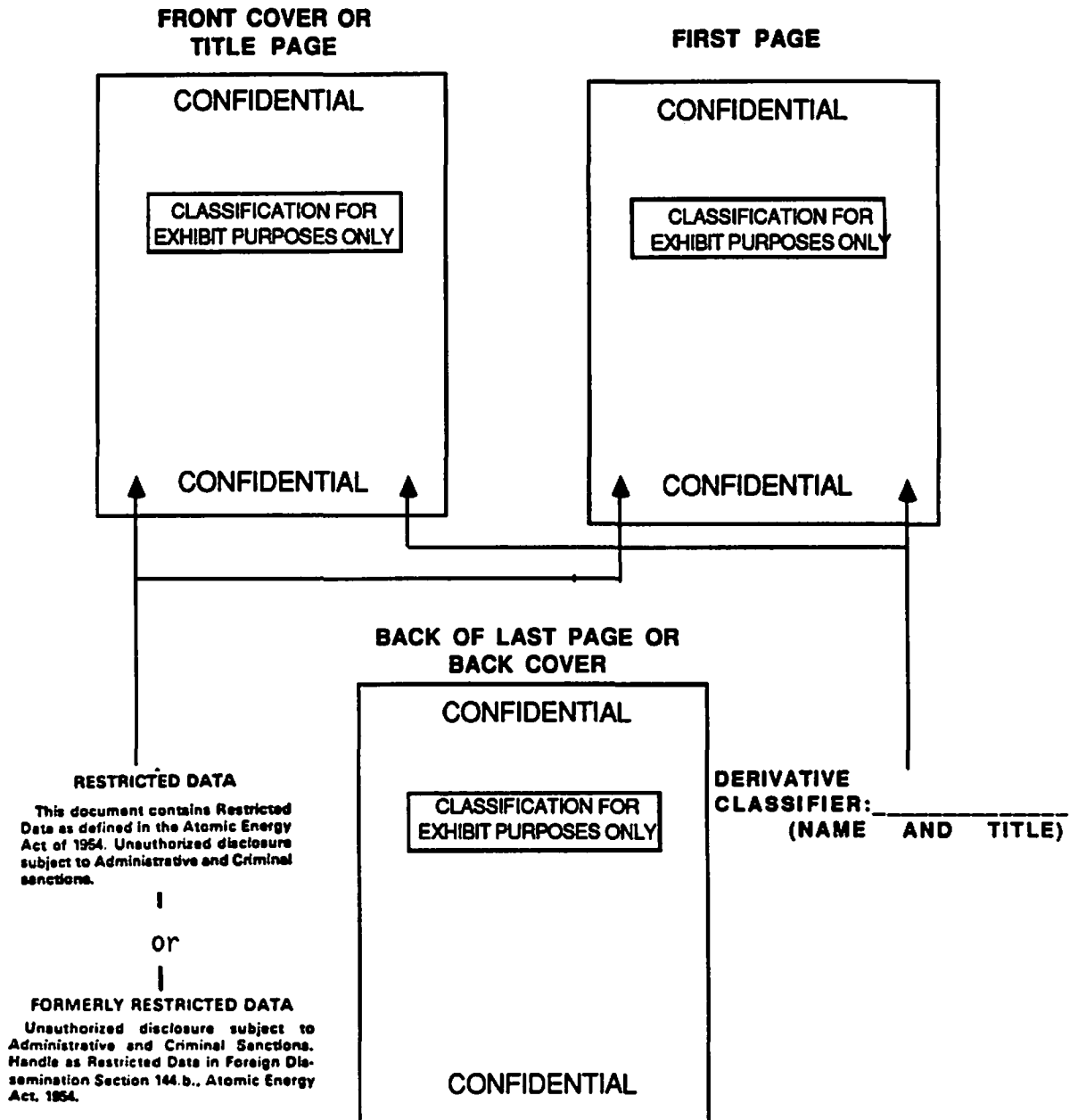


NATIONAL SECURITY INFORMATION  
Unauthorized disclosure subject to criminal and administrative sanctions  
Originally Classified by: Jane Z. Buck  
Chief, Policy Division  
Declassify on: OADR  
(Date or Event/OADR)

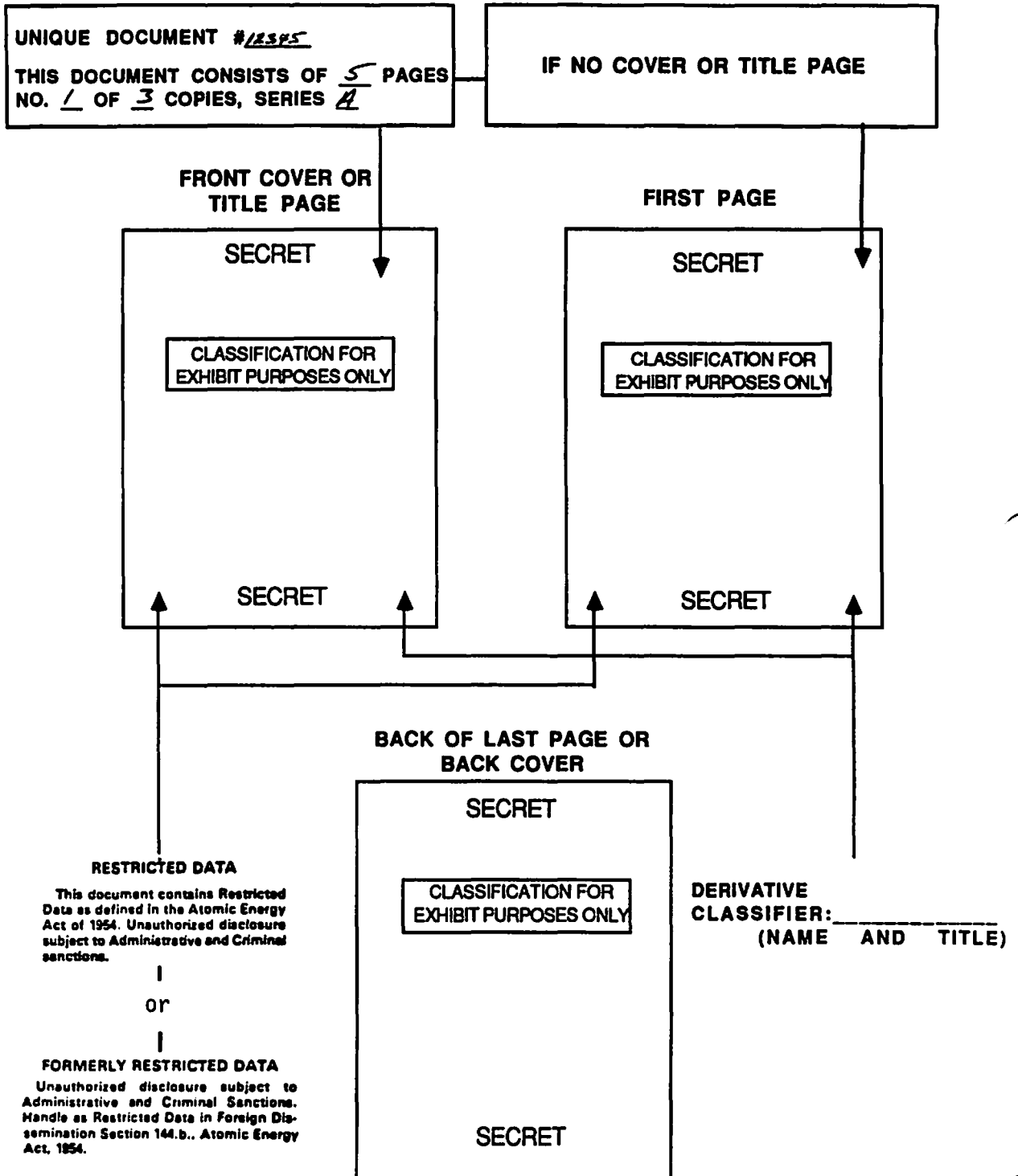
or

NATIONAL SECURITY INFORMATION  
Unauthorized disclosure subject to criminal and administrative sanctions  
Derivative Classifier: Jane Z. Buck  
Chief, Policy Division  
Declassify on: October 12, 1990  
(Date or Event/OADR)  
Indefinitely Classified by: GEN-12  
(Date or Event/Document)

**BOUND DOCUMENTS--CONFIDENTIAL**  
**RESTRICTED DATA OR FORMERLY RESTRICTED DATA**



BOUND DOCUMENTS--SECRET  
RESTRICTED DATA OR FORMERLY RESTRICTED DATA



DOCUMENT--ORIGINAL CLASSIFICATION  
CONFIDENTIAL NATIONAL SECURITY INFORMATION

DOE F 1323.6  
(12-84)

United States Government

**CONFIDENTIAL**

Department of Energy

# memorandum

DATE: September 12, 1985  
REPLY TO: DP-077  
ATTN OF:  
SUBJECT: Confidential NSI (C)

TO: A. B. Ingersoll, CS-712

- (U) This identifies the proper marking of an originally Classified Confidential National Security Information document.
- (C) Level markings are placed at the top and bottom of each page.
- (U) Category, classifier, and declassification marks are placed at lower left on the first page of the text.
- (C) Portion marks are required for all originally classified documents. They must be placed immediately preceding or following the text to which they apply. If the subject is classified, it must also be portion marked.

*Sargent Greenleaf*  
Sargent Greenleaf, Chief  
Cylinder Fabrication

CLASSIFICATION OF THIS DOCUMENT  
IS FOR EXAMPLE PURPOSES ONLY.

NATIONAL SECURITY INFORMATION  
Unauthorized disclosure subject to criminal and administrative sanctions  
Originally Classified by: Jane Z. Buck  
(Name)  
Analyst  
Declassify on: September 12, 1995  
(Date or Event/Action)

**CONFIDENTIAL**

DOCUMENT--DERIVATIVE CLASSIFICATION  
CONFIDENTIAL NATIONAL SECURITY INFORMATION

DOE F 1325.8  
(12-84)

United States Government

**CONFIDENTIAL**

Department of Energy

# memorandum

DATE: September 12, 1985  
REPLY TO:  
ATTN OF: DP-077  
SUBJECT: Confidential NSI

TO: A. B. Ingersoll, CS-712

This identifies the proper marking of a derivatively classified Confidential National Security Information document.

Level markings are placed at the top and bottom of each page.

Category, classifier, source, and declassification marks are placed at the lower left, first page of the text.

Portion markings are not required in DOE for derivatively classified documents.

*Sargent Greenleaf*  
Sargent Greenleaf, Chief  
Cylinder Fabrication

CLASSIFICATION OF THIS DOCUMENT  
IS FOR EXAMPLE PURPOSES ONLY.

NATIONAL SECURITY INFORMATION  
Unauthorized disclosure subject to criminal and administrative sanctions  
Derivative Classifier: Jane Z. Buck  
(Name)  
Analyst  
Declassify on: September 12, 1990  
(Date or Event/ADAD)  
Derivatively Classified by: GEN-12  
(Name or Source Identifier)

**CONFIDENTIAL**

DOCUMENT--ORIGINAL CLASSIFICATION  
SECRET NATIONAL SECURITY INFORMATION

DOE F 1325.8  
(12-84)

United States Government

**SECRET**

Department of Energy

**memorandum**

Unique Document# \_\_\_\_\_

This document consists of 1 pages  
No. 1 of 4 Copies, Series A

DATE: December 1, 1982  
REPLY TO  
ATTN OF: RG-49  
SUBJECT: Petroleum Imports (C)

TO: Manager, Midwest Enforcement District

- (S) This identifies the proper marking of an originally classified Secret National Security Information document.
- (C) Level marks are placed at the top and bottom of each page.
- (U) Category, classifier, and declassification marks are placed at lower left, first page only.
- (S) Portion marks for originally classified NSI must be placed immediately preceding or following the text to which it applies. If the subject is classified, it must also be portioned marked.
- (U) Documentation must be placed at the upper right of the first page for each Secret or Top Secret document.

*O. C. Harry*  
O. C. Harry, Chief  
Headquarters Enforcement Division

CLASSIFICATION OF THIS DOCUMENT  
IS FOR EXAMPLE PURPOSES ONLY.

**NATIONAL SECURITY INFORMATION**

Unauthorized disclosure subject to criminal and administrative sanctions

Originally Classified by: Jane Z. Buck  
Analyst (Name)

Declassify on: OADR  
(Date or Event/Authority)

**SECRET**

DOCUMENT--DERIVATIVE CLASSIFICATION  
SECRET NATIONAL SECURITY INFORMATION

DOE F 1325.8  
(12-84)

United States Government

**SECRET**

Department of Energy

**memorandum**

Unique Document# \_\_\_\_\_

This document consists of 1 pages  
No 1 of 4 Copies, Series A

DATE: December 1, 1982  
REPLY TO:  
ATTN OF: DP-077  
SUBJECT: Secret NSI

TO: A. B. Ingersoll, CS-712

This identifies the proper marking of a derivatively classified Secret National Security Information document.

Level markings are placed at the top and bottom of each page.

Category, classifier, source, and declassification marks are placed at the lower left, first page of the text.

Portion markings are not required in DOE for derivatively classified documents.

Documentation must be placed at the upper right of the first page for each Secret or Top Secret document.

*Sargent Greenleaf*  
Sargent Greenleaf, Chief  
Cylinder Fabrication

CLASSIFICATION OF THIS DOCUMENT  
IS FOR EXAMPLE PURPOSES ONLY.

**NATIONAL SECURITY INFORMATION**  
(Unauthorized disclosure subject to criminal and administrative sanctions)  
Derivative Classifier: JANEZ, BUCK  
(Name)  
Analyst  
Declassify on: September 12, 1990  
(Date or Event/AGAO)  
Derivatively Classified by: GEN-12  
(Date or Source Document)

**SECRET**



DOCUMENT--CONFIDENTIAL  
RESTRICTED DATA OR FORMERLY RESTRICTED DATA

DOE F 1325.6  
(12-84)

United States Government

**CONFIDENTIAL**

Department of Energy

# memorandum

DATE: 10-4-82

REPLY TO  
ATTN OF: DP-351

SUBJECT: Marking of a Classified Document

TO: Directives Point of Contact, DP-343.3

Restricted Data is all data concerning the design, manufacture, or utilization of atomic weapons; production of Special Nuclear Materials; or the use of Special Nuclear Material in the production of energy, but shall not include data declassified or removed from the Restricted Data category pursuant to Section 142 of the Atomic Energy Act of 1954.

Formerly restricted Data is data which has been transclassified from the Restricted Data category and relates primarily to the military utilization of atomic weapons.

  
John J. Brown  
Director, Office of Plans

CLASSIFICATION OF THIS DOCUMENT  
IS FOR EXAMPLE PURPOSES ONLY.

## RESTRICTED DATA

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

or

## FORMERLY RESTRICTED DATA

Unauthorized disclosure subject to Administrative and Criminal Sanctions. Handle as Restricted Data in Foreign Dissemination Section 144.2, Atomic Energy Act, 1954.

DERIVATIVE  
CLASSIFIER

SIGNER

(Name and Title)

**CONFIDENTIAL**

DOCUMENT--SECRET  
RESTRICTED DATA OR FORMERLY RESTRICTED DATA

DOE F 1325.6  
(12-84)

United States Government

**SECRET**

Department of Energy

# memorandum

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DATE: 10-4-82

REPLY TO

ATTN OF: DP-351

SUBJECT: Marking of a Classified Document

TO: Directives Point of Contact, DP-343.3

Restricted Data is all data concerning the design, manufacture, or utilization of atomic weapons; production of Special Nuclear Materials; or the use of Special Nuclear Material in the production of energy, but shall not include data declassified or removed from the Restricted Data category pursuant to Section 142 of the Atomic Energy Act of 1954.

Formerly Restricted Data is data which has been transclassified from the Restricted Data category and relates primarily to the Military utilization of atomic weapons.

  
John J. Brown  
Director, Office of Plans

CLASSIFICATION OF THIS DOCUMENT  
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This document contains Restricted Data as defined in the Atomic Energy Act of 1954. Unauthorized disclosure subject to Administrative and Criminal Sanctions.

OR

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Unauthorized disclosure subject to Administrative and Criminal Sanctions. Handle as Restricted Data in Foreign Dissemination Section 144.6, Atomic Energy Act, 1954.

DERIVATIVE  
CLASSIFIER

  
J.A. Smith, Chief of Plans  
(Name and Title)

**SECRET**

MEMORANDUM OF TRANSMITTAL

DOE F 1325.6  
(12-84)

United States Government

**CONFIDENTIAL**

Department of Energy

**memorandum**

DATE: September 12, 1985

REPLY TO  
ATTN OF: DP-077

SUBJECT: Memorandum of Transmittal

TO: A. B. Ingersoll, CS-712

1. This illustrates classification marking of a letter of transmittal, the stamp "when separated from enclosures," and the notation regarding the document transmitted.

2. ....

3. ....

*Sargent Greenleaf*  
Sargent Greenleaf, Chief  
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Attachment III-14  
Page III-51 (and III-52)



DEPARTMENT OF ENERGY

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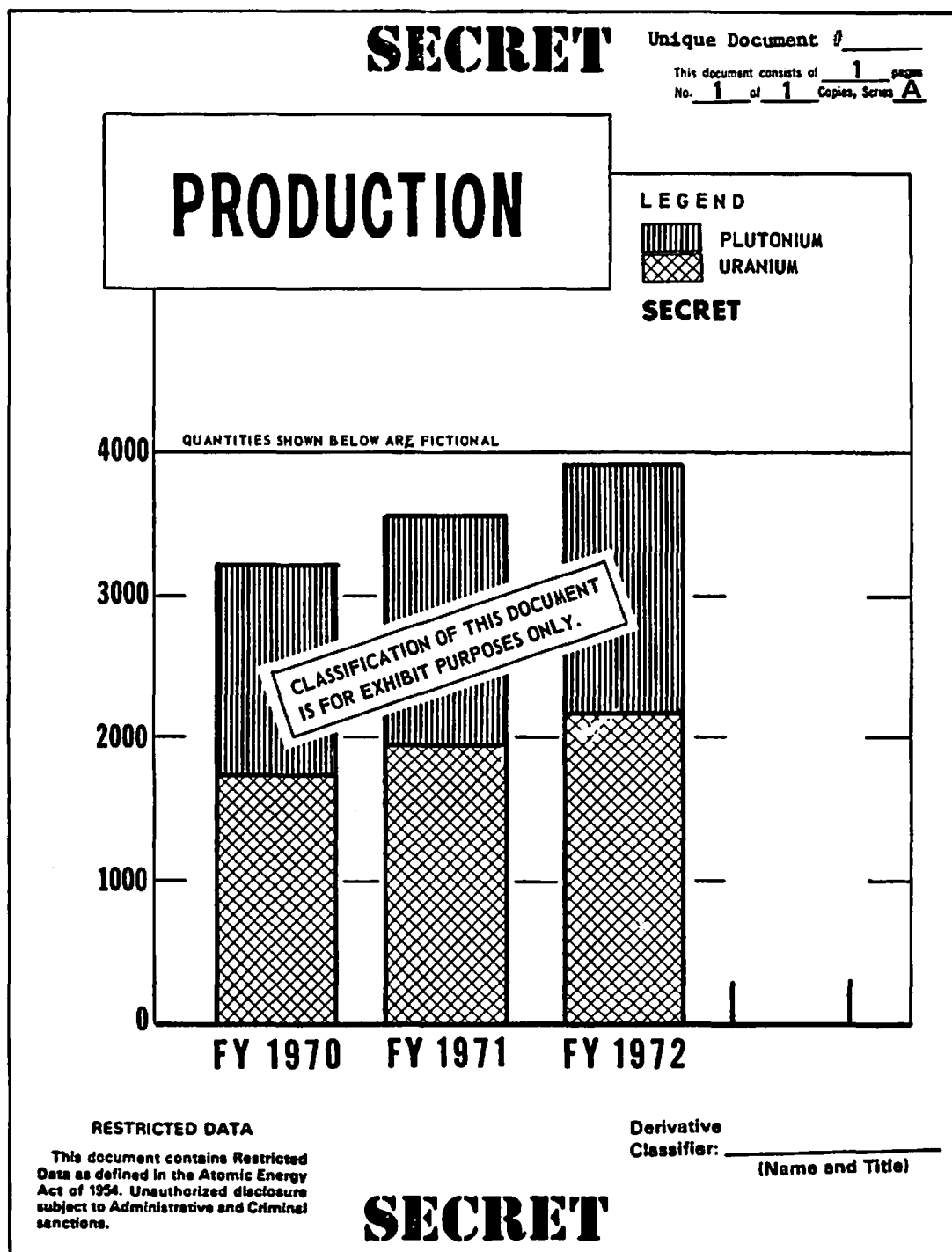
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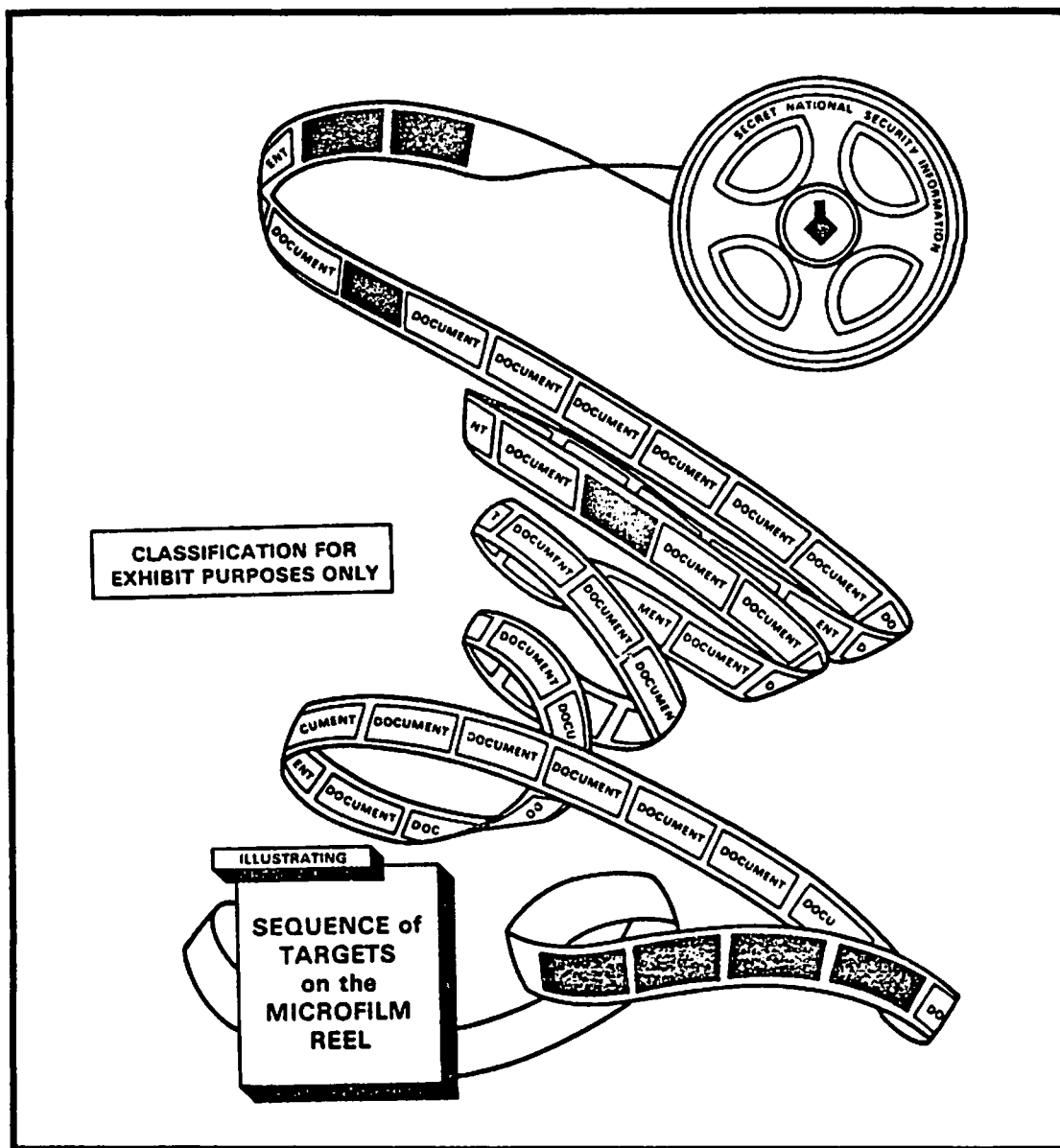
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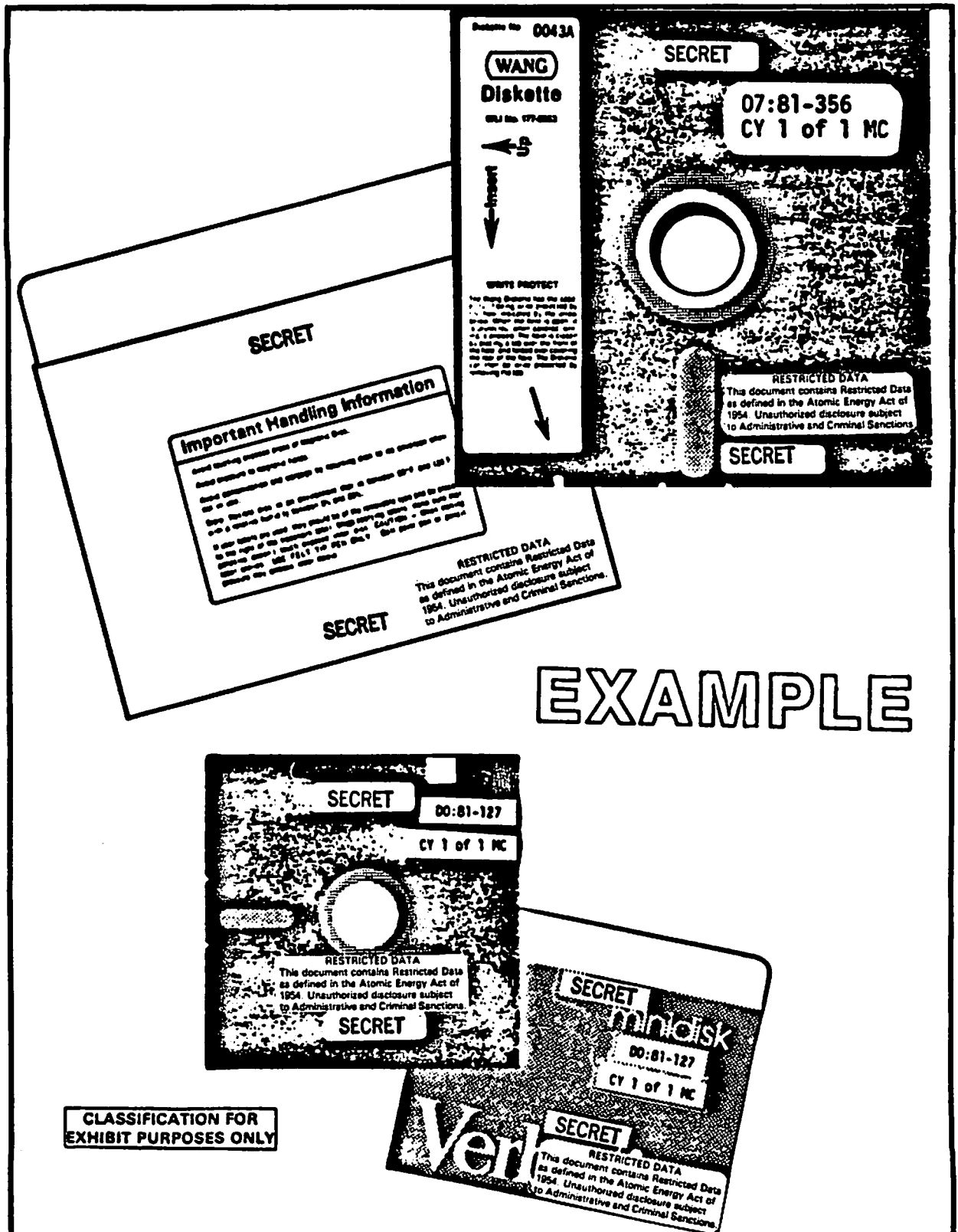
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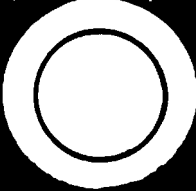
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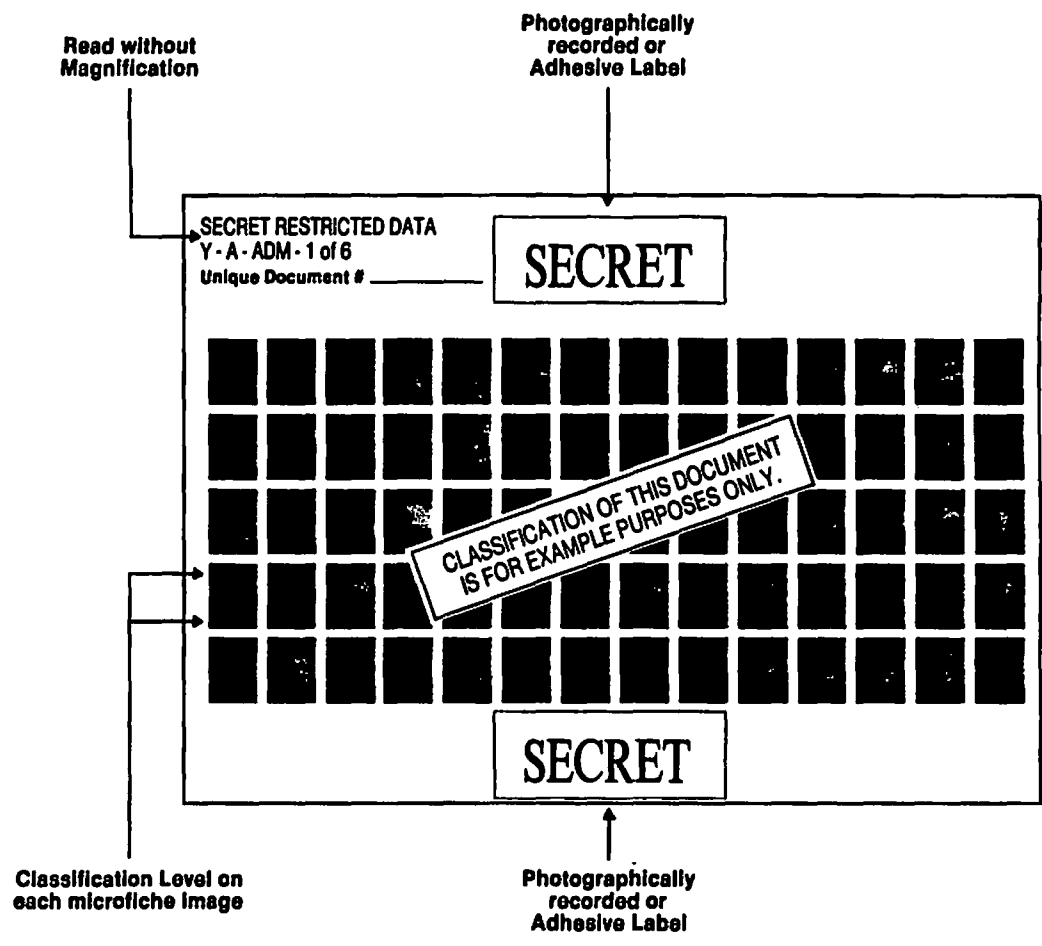
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**WEAPON DATA MESSAGE CONTAINING  
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6. FROM USDOE M.B. ALLEN SUPPLY ST. LOUIS, MO		7. OFFICIAL BUSINESS <i>M.B. Allen</i> (Signature of authorizing official)		8. DATE SEPTEMBER 5, 1985	
9. TO USDOE, R.S. WILLS, CONTRACTS, PIKETON, OHIO		COMMUNICATION CENTER ROUTING			
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(1) INDICATION OF WEAPON DATA CONTENT IN UPPER RIGHT-HAND CORNER					
(2) CLASSIFICATION AND OTHER SECURITY MARKINGS					
(3) PREPARATION OF FIRST LINE OF TEST OF MESSAGE CONTAINING WEAPON DATA.					
BE BRIEF - ELIMINATE UNNECESSARY WORDS		CLASSIFICATION OF THIS DOCUMENT IS FOR EXAMPLE PURPOSES ONLY			
10. ORIGINATOR (On separate lines, enter Name, Rating Symbol, & Tel. No.) Allen/dj Rm C-558 x-3145		11. DERIVATIVELY CLASSIFIED NSI NATIONAL SECURITY INFORMATION Unauthorized Disclosure subject to Administrative and Criminal Sanctions. Derivative Classifier: (Name) (Title) Declassify on: (Date or Event OADR) Derivatively Classified by: (Name and Title)		12. ORIGINALLY CLASSIFIED NSI NATIONAL SECURITY INFORMATION Unauthorized Disclosure subject to Administrative and Criminal Sanctions. Originally Classified by: (Name) (Title) Declassify on: (Date or Event OADR)	
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**MESSAGE CONTAINING SECRET  
NATIONAL SECURITY INFORMATION**

DOE F 1325.7 0-60 Exception to SF 14, Approved by NARS, June 1978		<b>SECRET</b>		2. MESSAGE CONTAINS WEAPON DATA? ("X" appropriate box. Message Center will not transmit message unless one box is marked.) <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO	
1. INSERT ABOVE, CLASSIFICATION LEVEL, UNCLASSIFIED, OR OFFICIAL USE ONLY				3. USE WHEN REQUIRED Unique Document # _____ THIS DOCUMENT CONSISTS OF 1 PAGES NO. 1 OF 1 COPIES, SERIES A	
U.S. DEPARTMENT OF ENERGY TELECOMMUNICATION MESSAGE (See reverse side for instructions.)				FOR COMMUNICATION CENTER USE	
4. PRECEDENCE DESIGNATION ("X" appropriate box): FOR NORMAL USE ACTION: <input checked="" type="checkbox"/> Routine <input type="checkbox"/> Priority INFO: <input checked="" type="checkbox"/> (8 Hrs.) <input type="checkbox"/> (3 Hrs.)		5. TYPE OF MESSAGE ("X" appropriate box) <input type="checkbox"/> Single Address <input type="checkbox"/> Multiple Address <input type="checkbox"/> Broadcast <input type="checkbox"/> Official Business		MESSAGE CENTER USE MESSAGE CENTER ON (SER B) NR: _____ G: _____ Z: _____	
6. FROM USDOE M.B. ALLEN SUPPLY OAK RIDGE, TN		7. DATE SEPTEMBER 5, 1985		8. DATE SEPTEMBER 5, 1985	
9. TO USDOE, R.C. LYON SUPPLY, ST. LOUIS, MO (SER C) USDOE, A.L. SHARP SUPPLY, PIKETON, OH (SER D) INFO: USDOE, S. WILLS CONTRACTS, PADUCAH, KY (SER E)  SECRET/NATIONAL SECURITY INFORMATION/DERIVATIVE CLASSIFIED JANE Z. BUCK/DECLASSIFY ON OADR/CLASSIFIED BY CG-X15/N O N W D/NARR  THIS SAMPLE FORM DOE F 1325.7 ILLUSTRATES A CLASSIFIED MULTIPLE ADDRESS MESSAGE NOT CONTAINING WEAPON DATA, INCLUDING:  (1) INDICATION OF EXCLUSION OF WEAPON DATA CONTENT IN UPPER RIGHT-HAND CORNER.  (2) DOCUMENTATION, ITEM 3.  (3) PREPARATION OF FIRST LINE OF TEST OF MESSAGE NOT CONTAINING WEAPON DATA.  BE BRIEF - ELIMINATE UNNECESSARY WORDS		COMMUNICATION CENTER ROUTING 69 P I C S 69			
10. ORIGINATOR (On separate lines, enter Name, Routing Symbol, & Tel. No.) Allen/dj Rm C-558 X-3145		11. DERIVATIVELY CLASSIFIED NSI NATIONAL SECURITY INFORMATION Unauthorized Disclosure subject to Administrative and Criminal Sanctions. Derivative Classifier: (Name) Jane Z. Buck (Title) Analyst Declassify on: (Date or Event) OADR Derivatively Classified by: CG-X15 (Guide or Source Document)		12. ORIGINALLY CLASSIFIED NSI NATIONAL SECURITY INFORMATION Unauthorized Disclosure subject to Administrative and Criminal Sanctions. Originally Classified by: _____ (Title) _____ Declassify on: _____ (Date or Event) OADR	
13. <input type="checkbox"/> RESTRICTED DATA This document contains Restricted Data as defined in the Atomic Energy Act of 1954. Unauthorized disclosure subject to Administrative and Criminal Sanctions.  DERIVATIVE CLASSIFIER _____ (Name and Title)		14. <input type="checkbox"/> FORMERLY RESTRICTED DATA Unauthorized disclosure subject to Administrative and Criminal Sanctions. Handle as Restricted Data in Foreign Dissemination Section 144b Atomic Energy Act 1954.  DERIVATIVE CLASSIFIER _____ (Name and Title)			
15. INSERT BELOW, CLASSIFICATION LEVEL, UNCLASSIFIED, OR OFFICIAL USE ONLY					
<b>SECRET</b>					



SECRET DOCUMENT COVER SHEET

# SECRET

THIS IS A COVER SHEET

FOR CLASSIFIED INFORMATION

ALL INDIVIDUALS HANDLING THIS INFORMATION ARE REQUIRED TO PROTECT IT FROM UNAUTHORIZED DISCLOSURE IN THE INTEREST OF THE NATIONAL SECURITY OF THE UNITED STATES.

HANDLING, STORAGE, REPRODUCTION AND DISPOSITION OF THE ATTACHED DOCUMENT MUST BE IN ACCORDANCE WITH APPLICABLE EXECUTIVE ORDER(S), STATUTE(S) AND AGENCY IMPLEMENTING REGULATIONS.

EXAMPLE

(This cover sheet is unclassified.)

# SECRET

704-101  
NSN 7540-01-213-7902

STANDARD FORM 704 (8-85)  
Prescribed by GSA/ISOO  
32 CFR 2003

CONFIDENTIAL DOCUMENT COVER SHEET

# CONFIDENTIAL

THIS IS A COVER SHEET

FOR CLASSIFIED INFORMATION

ALL INDIVIDUALS HANDLING THIS INFORMATION ARE REQUIRED TO PROTECT IT FROM UNAUTHORIZED DISCLOSURE IN THE INTEREST OF THE NATIONAL SECURITY OF THE UNITED STATES.

HANDLING, STORAGE, REPRODUCTION AND DISPOSITION OF THE ATTACHED DOCUMENT MUST BE IN ACCORDANCE WITH APPLICABLE EXECUTIVE ORDER(S), STATUTE(S) AND AGENCY IMPLEMENTING REGULATIONS.

EXAMPLE

(This cover sheet is unclassified.)

# CONFIDENTIAL

705-101  
NSN 7540-01-213-7903

STANDARD FORM 705 (8-85)  
Prescribed by GSA/ISOO  
32 CFR 2003

DOE 5635.1A  
2-12-88

Attachment III-28  
Page III-79 (and III-80)

RESTRICTED DATA DOCUMENT COVER SHEET (PLACEMENT)

DOE F 5635.12  
(1-84)  
(Previously DP-H308A)

EXAMPLE

this document contains  
**RESTRICTED DATA**

(This cover sheet is unclassified.)

**SECRET**

704-101  
NSN 7540-01-213-7902

STANDARD FORM 704 (8-65)  
Prescribed by GSA/ISOO  
32 CFR 2003

FOREIGN CLASSIFICATION MARKINGS

Country	TOP SECRET	SECRET	CONFIDENTIAL	NO DIRECT U.S. EQUIVALENT
Argentina	ESTRICTAMENTE SECRETO	SECRETO	CONFIDENCIAL	RESERVADO
Australia	TOP SECRET	SECRET	CONFIDENTIAL	RESTRICTED
Austria	STRENG GEHEIM	GEHEIM	VERSCHLUSS	
Belgium (French)	TRES SECRET	SECRET	CONFIDENTIEL	DIFFUSION
(Flemish)	ZEER GEHEIM	GEHEIM	VERTROUWELIJK	RESTREINTS BEPERTKE VERSPREIDING
Bolivia	SUPERSECRETO or MUY SECRETO	SECRETO	CONFIDENCIAL	RESERVADO
Brazil	ULTRA SECRETO	SECRETO	CONFIDENCIAL	RESERVADO
Cambodia	TRES SECRET	SECRET	SECRET/CONFIDENTIEL	
Canada	TOP SECRET	SECRET	CONFIDENTIAL	RESTRICTED
Chile	SECRETO	SECRETO	RESERVADO	RESERVADO
Columbia	ULTRASECRETO	SECRETO	RESERVADO	CONFIDENCIAL RESTRINGIDO
Costa Rica	ALTO SECRETO	SECRETO	CONFIDENCIAL	
Denmark	HØJST HMMILIGT	HMMILIGT	FORTROLIGT	TIL TJENESTEBRUG
Ecuador	SECRETISIMO	SECRETO	CONFIDENCIAL	RESERVADO
El Salvador	ULTRA SECRETO	SECRETO	CONFIDENCIAL	RESERVADO
Ethiopia	YEMIAZ BIRTOU MISTIR	MISTIR	KILKIL	
Finland	ERITTAIN SALAINEN	SALAINEN		
France	TRES SECRET	SECRET DEFENSE	CONFIDENTIEL DEFENSE	DIFFUSION RESTREINTE
Germany	STRENG GEHEIM	GEHEIM	VS-VERTRAULICH	
Greece	ΑΚΡΗΣ ΑΠΟΡΡΗΤΟΝ	ΑΠΟΡΡΗΤΟΝ	ΕΜΠΙΣΤΕΥΤΙΚΟΝ	ΠΕΡΙΠΡΙΣΜΕΝΗΣ ΧΡΗΣΕΩΣ
Guatemala	ALTO SECRETO	SECRETO	CONFIDENCIAL	RESERVADO
Haiti		SECRET	CONFIDENTIAL	
Honduras	SUPER SECRETO	SECRETO	CONFIDENCIAL	RESERVADO
Hong Kong	TOP SECRET	SECRET	CONFIDENTIAL	RESTRICTED
Hungary	SZIGORUAN TITKOS	TITKOS	BIZALMAS	
India	TOP SECRET	SECRET	CONFIDENTIAL	RESTRICTED

FOREIGN CLASSIFICATION MARKINGS  
(Cont'd)

Country	TOP SECRET	SECRET	CONFIDENTIAL	NO DIRECT U.S. EQUIVALENT
Indonesia	SANGAT RAHASIA	RAHASIA	TERBATAS	
Iran	BEKOLI SERRI بکلی سری	SERRI سری	KHEILI MAHRAMANEH خهیلی مهرانه	MAHRAMANEH مهرانه
Iraq	(Absolutely secret) سری مطلقاً	(Secret) سری	مقتدر	(Limited) محدود
Iceland	ALGJORTI	TRUNADARMAL		
Ireland Gaelic	TOP SECRET AN-SICREIDEACH	SECRET SICREIDEACH	CONFIDENTIAL RUNDA	RESTRICTED SRIANTA
Israel	SODI BEYOTER סודי ביותר	SODI סודי	SHAMUR שמור	MUGBAL מגבל
Italy	SEGRETISSIMO	SEGRETO	RISERVATISSIMO	RISERVATO
Japan	KIMITSU 機密	GOKUHI 極密	HI 秘	TORIATSUKAICHUI 取扱注意 BUGAIHI 部外秘 MAHDUD محدود
Jordan	MAKTUM JIDDAN مکتوم جدا	MAKTUM مکتوم	SIRRI سری	MAHDUD محدود
Korea	III KUP PI MIL III 급 비밀	(I KUP PI MIL I 급 비밀)	I KUP PI MIL I 급 비밀	
Laos	TRES SECRET	SECRET	SECRET/CONFIDENTIEL	DIFFUSION RESTREINTE
Lebanon	TRES SECRET	SECRET	CONFIDENTIAL	
Mexico	ALTO SECRETO	SECRETO	CONFIDENCIAL	RESTRINGIDO
Netherlands	ZEER GEHEIM	GEHEIM	CONFIDENTIEEL or VERTROUWELIJK	DIENSTGEHEIM
New Zealand	TOP SECRET	SECRET	CONFIDENTIAL	RESTRICTED
Nicaragua	ALTO SECRETO	SECRETO	CONFIDENCIAL	RESERVADO
Norway	STRENGT HEMMELIG	HEMMELIG	KONFIDENEJELT	BEGRENSET
Pakistan	TOP SECRET	SECRET	CONFIDENTIAL	RESTRICTED
Paraguay	SECRETO	SECRETO	CONFIDENCIAL	RESERVADO
Peru	ESTRICTAMENTE SECRETO	SECRETO	CONFIDENCIAL	RESERVADO
Philippines	TOP SECRET	SECRET	CONFIDENTIAL	RESTRICTED
Portugal	MUITO SECRETO	SECRETO	CONFIDENCIAL	RESERVADO
Spain	MAXIMO SECRETO	SECRETO	CONFIDENCIAL	DIFFUSION LIMITADA
Sweden (Red Borders)	HEMLIG	HEMLIG		
Switzerland	(Three languages. TOP SECRET has a registration number to distinguish from SECRET and CONFIDENTIAL)			
French	TRES SECRET	SECRET DEFENSE	CONFIDENTIEL DEFENSE	DIFFUSION RESTREINTE
German	STRENG GEHEIM	GEHEIM	VERTRAULICH	

FOREIGN CLASSIFICATION MARKINGS  
(CONT'D)

Country	TOP SECRET	SECRET	CONFIDENTIAL	NO DIRECT U.S. EQUIVALENT
Italian	SEGRETISSIMO	SEGRETO	RISERVATISSIMO	RISERVATO
Taiwan	絕密	秘密	機密	密
Thailand	LUP TISUD ลับสุดยอด	LUP MAAG ลับมาก	LUP ลับ	POK PID ปกปิด
Turkey	COK GIZLI	GIZLI	OZEL	HIZMETE OZEL
Union of South Africa				
English	TOP SECRET	SECRET	CONFIDENTIAL	RESTRICTED
Afrikaans	UITERS GEHEIM	GEHEIM	VERTROULIK	BEPERK
United Arab Republic (Egypt)	TOP SECRET سري جداً	VERY SECRET سري جداً	SECRET سري	OFFICIAL مصر
United Kingdom	TOP SECRET	SECRET	CONFIDENTIAL	RESTRICTED
Uruguay	ULTRA SECRETO	SECRETO	CONFIDENCIAL	RESERVADO
USSR	СОБСТВЕННО СЕКРЕТНО	СЕКРЕТНО	НЕ ПОДЛЕЖАЮЩА ОГЛАШЕНИЮ	ДЛЯ СЛУЖЕБНОГО ПОЛЬЗОВАНИЯ
Viet Nam				
French	TRES SECRET	SECRET DEFENSE	CONFIDENTIEL DEFENSE	DIFFUSION RESTREINTE
Vietnamese	TÔI-MẬT	MẬT	KINH	TU MẬT
INTERNATIONAL ORGANIZATION	TOP SECRET	SECRET	CONFIDENTIAL	
NATO	COSMIC TOP SECRET	NATO SECRET	NATO CONFIDENTIAL	NATO RESTRICTED
The NATO term "ATOMAL" refers to RESTRICTED DATA OR FORMERLY RESTRICTED DATA				

NOTES:

In all instances foreign security classification systems are not exactly parallel to the U.S. system and exact equivalent classifications cannot be stated. The classifications given above represent the nearest comparable designations that are used to signify degrees of protection and control similar to those prescribed for the equivalent U.S. classifications.

"ATOMAL" information is an exclusive designation used by NATO to identify "Restricted Data" or "Formerly Restricted Data" information released by the U.S. Government to NATO.

There is no Swedish security classification equivalent to US CONFIDENTIAL. Accordingly, all Swedish information or material received by the U.S. Government and classified HEMLIG will be safeguarded as U.S. SECRET; U.S. information or material received by the Swedish Government and CLASSIFIED CONFIDENTIAL will be safeguarded as HEMLIG.

## CHAPTER IV

### TRANSMISSION OF CLASSIFIED DOCUMENTS

1. ASSURANCES REQUIRED PRIOR TO TRANSMISSION. Prior to transmitting a classified document, the sender shall ensure that the recipient meets the need-to-know criteria as defined in Attachment 2, possesses prescribed access authorization, and has any required programmatic or special access approval. In addition the sender shall assure that the recipient has an approved classified mailing address, and has approved storage facilities for safeguarding the document. The sender may obtain this information from personnel responsible for the security function of the office in which the recipient is employed, the cognizant DOE Security Office, or from the Director of Safeguards and Security (DP-34). Before handing the classified documents to the recipient, the individual delivering the documents shall ensure that the recipient is identified and authorized to receive such delivery.
2. TRANSMISSION OF SECRET DOCUMENTS. Persons hand-carrying Secret documents shall keep the documents continuously in their possession until stored in approved DOE or contractor repositories.
  - a. Within Facilities. Within facilities Secret documents shall be ~~hand-delivered~~ between DOE employees or contractor employees or others possessing DOE access authorizations appropriate for the level and category of information transmitted.
  - b. Outside Facilities.
    - (1) Secret documents shall be transmitted outside facilities by any method approved for the transmission of Top Secret documents (see Chapter XI).
    - (2) DOE employees or contractor employees may be authorized to hand-carry Secret documents if they possess an access authorization appropriate for the level and category of information to be transmitted and under the following conditions:
      - (a) The documents are urgently required in the performance of their duties (e.g., an emergency or an unanticipated requirement for the document exists).
      - (b) It is not practical to use any of the means of transmission described in paragraphs 2b(3) through (5).

- (c) An authorization memorandum or a completed DOE F 5635.13, "Authority to Hand Carry Classified Matter" (see Attachment IV-1) has been obtained from Heads of Departmental Elements.
- (3) Secret documents may be transmitted through the following postal services:
  - (a) United States Postal Service registered mail within and between the 50 States, the District of Columbia, and Puerto Rico.
  - (b) United States Postal Service registered mail through Army, Navy, or Air Force Postal Service facilities, provided that the approval of DP-34 is obtained and information does not pass out of U.S.-citizen control and does not pass through a foreign postal system. This method may be used in transmitting Secret documents to and from U.S. Government or U.S. Government contractor employees or members of the U.S. armed forces in a foreign country.
  - (c) United States and Canadian registered mail with registered mail receipt in transmitting documents to and between United States Government and Canadian Government installations in the 50 States, the District of Columbia, and Canada.
- (4) Documents may be transmitted to U.S. Government or U.S. Government contractor employees or members of the U.S. armed forces in a foreign country by use of the Department of State diplomatic pouch. This method of transmission shall be used only if approval has been obtained from the Director of Safeguards and Security. The approval may be granted for individual transmission or on a blanket basis.
- (5) DOE or contractor employees who have "O" access authorizations may hand-carry Secret documents to and from foreign countries when necessary in the performance of their official duties and when it is not practical to use the other means set forth in paragraphs 2b(3), (4), (5), and (6), above. The approval of Heads of Departmental Elements shall be obtained prior to carrying documents to or from Canada and the approval of the Director of Safeguards and Security shall be obtained prior to carrying documents to or from other foreign countries (see DOE 5635.X).



(6) Authorization for and Documentation of Secret Document Transmittals.

- (a) Contractors submit to the Departmental Element the name of the individual in their organization authorized to issue hand-carry authorizations for Secret and Confidential classified documents.
- (b) Authorization in all cases specified shall be by name, title, or position and shall be confined to a minimum number of persons. Authorization may be granted for each occasion, for a specified period (not to exceed 2 years), or until revoked. Notification of the persons or positions authorized shall be sent to the responsible DOE security office at the time that authorization is granted.
- (c) A signed record of Secret document transmittals shall be maintained by the person carrying the documents; a copy of this record shall also be maintained at the facility from which the documents are taken. This record shall contain the description (subject or title) of the documents, the date of the documents, the date on which the documents were removed from the facility, and the signature of the person removing the documents. The return of the documents shall also be recorded on receipt.

3. TRANSMISSION OF CONFIDENTIAL DOCUMENTS. Persons hand-carrying Confidential documents shall keep the documents continuously in their possession until stored in approved DOE or DOE contractor repositories.

- a. Within Facilities. Confidential documents shall be transmitted within facilities by hand delivery between DOE employees or contractor employees or others possessing DOE access authorizations appropriate for the level and category of information transmitted.
- b. Outside Facilities. Confidential documents shall be transmitted between facilities by:
  - (1) Any method approved for the transmission of Top Secret or Secret documents.
  - (2) U.S. Postal Service Certified or Express Mail (for either method, return receipt shall be requested) within the 50 States, the District of Columbia, Puerto Rico, and U.S. territories or possessions. Outside these locations the means approved for Top Secret or Secret documents must be used.

- (3) DOE or contractor employees who possess an appropriate active access authorization. Such employees may carry Confidential documents to and from foreign countries when necessary in the performance of their official duties and when it is not practical to use other means set forth in paragraphs 2b(3) through (5). The approval of the Heads of Departmental Elements shall be obtained prior to carrying documents to foreign countries.

4. PROHIBITIONS (REMOVAL TO PRIVATE RESIDENCES AND OTHER PUBLIC FACILITIES). The removal of classified documents from approved facilities to private residences or other unapproved places (e.g., hotel or motel rooms) is prohibited. Therefore, travelers anticipating a destination arrival time outside normal duty hours shall make prior arrangements for storage of classified matter through the host security office. All classified documents, when not in the possession of authorized individuals, shall be stored only in approved DOE or contractor facilities.
5. USE OF EXPRESS SERVICE ORGANIZATIONS. The use of express delivery service (e.g., Federal Express, DHL, Emery, and like) for transmitting classified matter is restricted to emergency situations where the information positively has to be at the receiving facility(ies) on the next working day. Express service shall not be used as a matter of routine or convenience for transmitting classified matter. As a minimum, the sender shall ensure that:
- a. The express service organization has been approved for both locations. Approval shall be accomplished by use of FDAR.
  - b. Ensure that transmittal address is correct and, in some instances, the appropriate, special facility handling instructions are used for such service.
  - c. Notify the intended recipient(s) of the proposed shipment and arrival date.
  - d. Ensure that the properly wrapped package (see page IV-7, paragraph 8b) is hand-carried to the express mail dispatch center for his or her facility in sufficient time to allow for dispatch on the same day.
  - e. Express terminals as a matter of policy are not approved for storage of classified matter. Ensure that overnight service is not used on Fridays or on the day preceding a holiday unless prior assurance has been received from the intended recipient that someone will be available at the facility(ies) to receive the shipment on arrival.

6. ON AIR CARRIERS. DOE 5635.3, "HAND-CARRYING CLASSIFIED MATTER ON AIR CARRIERS," provides guidance and procedures for hand-carrying classified matter on air carriers.
7. CLASSIFIED MAILING ADDRESSES.
  - a. Secret and Confidential documents may be transmitted using the U.S. Postal Services (paragraphs 2 and 3). When used, envelopes and packages shall be wrapped as described in paragraph 8b.
  - b. Each Departmental Element is responsible for directing classified mail only to approved classified mailing addresses. The sending of classified mail to other than the approved classified mailing address will result in a security infraction.
  - c. Classified mailing addresses are subject to frequent changes; therefore, the sender shall ensure that the approved classified mailing address is used. Verification of classified mailing addresses and addresses for other facilities shall be obtained from the Chief of Physical Security (DP-343.3).
8. PREPARATION OF CLASSIFIED DOCUMENTS FOR TRANSMISSION. For Top Secret documents refer to Chapter XI. Secret and Confidential documents transported outside an approved building or facility to another approved building or facility (e.g., by mail, courier, or hand carried) shall be handled in accordance with the procedures set forth below:
  - a. Receipts for Secret and Confidential Documents.
    - (1) When Used. DOE F 5635.3, "Classified Document Receipt" (see Attachment IV-2) or a receipt similar in content shall be used for the transmittal of Secret documents. Use of receipts for Confidential documents is at the sender's discretion. However, if a receipt is submitted, it shall be signed and returned to the sender. When hand-carrying or using express services, the appropriate notation should be entered under the "postal number" heading.
    - (2) ADP Classified Documents. Receipts shall be used in accordance with the above for any transmission of Secret ADP documents, including printouts from, to, or between custodians outside ADP centers.

- (3) Within a Division or Facility. When the transfer of a Secret document takes place within (a) an office or division or (b) a facility in which a limited number of personnel are employed, a record of all the information on the classified document receipt, except the postal number, shall be kept in lieu of the receipt. The date forwarded shall replace the requirement for the date mailed.
- (4) Preparation. The information on the receipt shall be unclassified.
- (a) Contents. Each receipt shall be prepared in triplicate and shall contain:
- 1 Full name (first name, middle initial, and last name) and title of position of the sender;
  - 2 Full name and position of the addressee; and
  - 3 Address of the sender and the classified mailing address of the addressee (see page IV-5 paragraph 7).
- (b) Use for More than One Document. More than one document may be included on one receipt if the same sender and addressee are involved. However, for all documents being sent to a non-DOE facility or contractor when there is more than one recipient with the same address, an individual receipt is required for each recipient.
- (c) Disposition of Copies. The original and duplicate of the receipt shall be placed in the inner envelope and shall cover the face of the document. The triplicate shall be retained by the sender pending the return of the signed original from the addressee.
- (5) Verification, Signature, and Return.
- (a) By Recipient.
- 1 On delivery, the addressee or the authorized recipient shall check the documents against the receipt. If no discrepancy exists, the addressee shall sign the receipt, using his or her full name (first name, middle initial, and last name), or the authorized recipient shall sign for the addressee as follows:

"John J. Doaks (Name of the addressee) by James E. Brown  
(Signature of authorized recipient)."

- 2 The addressee or recipient shall then immediately return the original copy of the receipt to the sender. If there is a discrepancy, the recipient shall immediately notify the sender and the sender organization's security officer or the security office of the responsible Department Element.

- (b) By Mail Station. When a mail station processes a large volume of classified documents, it can perform the action as specified on page IV-6, paragraph (5)(a), sign the receipt for the addressee, and return the original copy of the receipt to the sender immediately. As an alternative, the signature of the appropriate person at the mail station may be placed immediately after the wording "Received for addressee by \_\_\_\_\_."  
(Signature)

- (6) Delay in Return of Receipt. When there is a delay in the return of the receipt in excess of 7 working days beyond the expected delivery date, the sender shall inquire of the addressee if the document has been received. If it has not, he or she shall immediately notify his or her security representative.
- (7) Messenger Receipt. HQ F 1410.6, "DOE Messenger Receipt," (see Attachment IV-3), or an approved receipt similar in content, shall be used for any hand-carried transfer of Secret documents outside a Departmental facility or outside a contractor facility. Use of this form does not rescind the requirement for the use of a classified document receipt.
- (8) Courier Receipt. HQ F 1410.6, "DOE Messenger Receipt," (see Attachment IV-4) shall be used when the transmission of a document requires the service of a courier (see Attachment 2, page 3, paragraph 24).

b. Envelopes and Wrappers.

- (1) Use. Classified documents shall be enclosed in two opaque envelopes (see Attachment IV-5) or wrappers for transmission or delivery outside a facility. When opaque envelopes are temporarily not available, appropriate measures shall be taken to ensure that the contents of document cannot be seen through the inner envelope and that the security markings on the inner envelope cannot be seen through the outer envelope. Envelopes

and wrappers, including all seams, shall be adequately sealed with tape to prevent undetected unauthorized access to the contents in transit.

(2) Inner Envelope or Wrapper.

- (a) The inner envelope or wrapper shall be adequately sealed and addressed to the person for whom the document is intended. The address approved for classified mail shall be used. The classification-level marking shall be placed at the top and bottom of the front and back. For documents being sent to the DOD containing Sigma 1, 2, or 11 information, the inner envelope should also be stamped with the appropriate Sigma level and Critical Nuclear Weapon Defense Information (CNWDI). The sender's classified mailing address shall appear in the upper left-hand corner.
- (b) If documents bearing different classification levels are transmitted in the same envelope or wrapper, the marking shall be that of the most highly classified document or higher, if the assemblage requires a higher classification.
- (c) The highest classification category and all special markings of the documents to be transmitted shall be on the front of each inner envelope or wrapper. The lowest classification category is National Security Information, the next is Formerly Restricted Data, and the highest is Restricted Data.

(3) Outer Envelope or Wrapper. The outer envelope or wrapper shall be sealed adequately and addressed in the ordinary manner with no indication on the envelope that it contains a classified document. The intended recipient's address approved for classified mail shall be used. The sender's classified mailing address shall appear in the upper left-hand corner.

(4) Diplomatic Pouch. If the diplomatic pouch is to be used, the outer envelope shall be addressed to DP-34. The inner envelope shall be addressed to the intended recipient.

- c. Evidence of Tampering. If envelope(s) or wrapper(s) used in transmitting classified documents indicate evidence of tampering, the recipient will save the envelope(s) or wrapper(s) in the condition received and immediately notify the responsible DOE security office and the security officer in the recipient's organization.

- d. Delivery Within a Facility. As a minimum, Secret and Confidential documents will be delivered in authorized protective coverings such as classified routing envelopes. Persons hand-carrying such documents shall ensure that they are protected during delivery.

AUTHORITY TO HAND-CARRY CLASSIFIED MATTER

DOE-F-5635.13 (4-87) U.S. DEPARTMENT OF ENERGY OMB Control No. 1910-1800

**AUTHORITY TO HAND-CARRY CLASSIFIED MATTER**  
To CHARLES J. COOPER Expires 5-10-88

You are hereby authorized to hand-carry **CONFIDENTIAL** or **SECRET** Matter within the continental limits of the United States in accordance with the provisions of DOE 5635.1.

This authorization applies only when it is operationally necessary to hand-carry classified matter.

The instructions on the reverse side are to be followed in the event that any classified matter being hand-carried is lost, compromised or possibly compromised.

Authorized by: J. J. ROBINSON  
(Signature of Office/Division Director)

[Signature]  
Signature of Hand-Carry

No. 5-10-86  
Date issued

**EXAMPLE**

**IN THE EVENT CLASSIFIED MATTER IS LOST, COMPROMISED OR POSSIBLY COMPROMISED**

1. The matter should be reported immediately to the DOE Appropriate Office/Division of Safeguards and Security. Notification shall be made by calling:  
Nonworking hours 353-5111  
Normal working hours 252-5678
2. If a loss occurs at a classified facility, its Security Officer also should be notified.
3. Additionally, if a loss occurs outside a security area, or if an alleged or suspected violation of Federal law is involved, the local office of the FBI also shall be immediately notified.

**DO NOT DISCUSS THE INCIDENT WITH OTHER THAN THE PERSONS CONTACTED ON THE ABOVE NUMBER, OR OTHER AUTHORIZED PERSONS**



DOE 5635.1A  
2-12-88

Attachment IV-2  
Page IV-13 (and IV-14)

CLASSIFIED DOCUMENT RECEIPT

DOE F 5635.3 (9-85) (Formerly DP-128)		U.S. DEPARTMENT OF ENERGY <b>CLASSIFIED DOCUMENT RECEIPT</b>		OMB Control No. 1910-1800	
<b>TO</b>  B. J. Honeycutt Medical Services Corps M.A.S.H. 4077 Taegu, Korea		<b>POSTAL NUMBER</b>			
		<b>DATE MAILED</b> August 30, 1985			
		<b>INSTRUCTIONS</b> 1. Verify addressee's classified mailing address. 2. Describe document by subject, or title and originator. List Secret and accountable Confidential enclosures. Indicate type of document e. g. Ltr., Rpt., or Dwg. 3. Show classification and extra markings. 4. Forward original and duplicate to addressee. 5. Retain copy pending return of signed original by addressee.			
<b>FROM</b>  A. L. Richardson, Director Medical Radiation Research Center Five Tobacco Road Durham, North Carolina					
<b>DESCRIPTION (MUST BE UNCLASSIFIED)</b>		<b>DOCUMENT NUMBER (IF NUMBERED)</b>	<b>DATE OF DOCUMENT</b>	<b>COPY NUMBER AND SERIES</b>	<b>CLASSI- FICATION</b>
Memo: T. Park to S. Davis Subject: Physical Information			08/26/85	1A	SNSI
<b>EXAMPLE</b>					
<i>I have received the document(s) listed above and assume responsibility for safeguarding in accordance with security regulations.</i>					
Signature of addressee or name of addressee and signature of recipient. <u>B. J. Honeycutt</u> Date <u>9/11/85</u>					
Received for addressee by _____ Date _____ (to be used only by mail rooms)					

DOE MESSENGER RECEIPT

HQ F 1410.6 (6-87)	RECEIPT
DOE MESSENGER RECEIPT	059463
TO: John Jones U.S. Department of Energy Albuquerque Operations Office P.O. Box 5400 Albuquerque, NM 87115	DATE: January 30, 1988
FROM: Donald Smith Savannah River Operation- P. O. Box A Aiken, SC 29801	RECEIVED BY: <i>D. Smith</i> (RE) (E)
1. RETAIN IN DOE TRANSPORTATION (MA-235.2)	

**EXAMPLE**

COURIER RECEIPT

This illustrates the transfer of an envelope from the sender to the courier

U.S. DEPARTMENT OF ENERGY DOE F 1540.2 (8-83)		<b>COURIER RECEIPT</b>		10103
Ih	U.S. DEPARTMENT OF ENERGY DOE F 1540.2 (8-83)			
Tra	<b>COURIER RECEIPT</b>			
Ad	I have received: No. of envelopes <u>1</u> No. of packages ..... No. of containers .....			
Id	Transmitted by <u>John R. Smith, DP-352, U.S. DOE, Washington, D.C.</u> <small>(Name and address of sender)</small>			
	Addressed to <u>Winston L. Naylor, U.S. DOE, Albuquerque, NM</u> <small>(Name and address of addressee)</small>			
	Identified as follows: <u>One (1) sealed envelope identified as WAG 20853</u>			
	<u>John R. Smith</u> <small>(Name of person from whom received (if courier, include Courier Card Number))</small>		<u><i>James J. Berry</i></u> <small>(Signature of recipient (if courier, include Courier Card Number))</small>	
			<u>Germentown, MD</u> <small>(Place of transfer)</small>	
			<u>9/3/85</u> <small>(Date)</small>	

SPD 10-64229-1


EXAMPLE

This illustrates the transfer of an envelope from the courier to the addressee

U.S. DEPARTMENT OF ENERGY DOE F 1540.2 (8-83)		<b>COURIER RECEIPT</b>		10104
Ih	U.S. DEPARTMENT OF ENERGY DOE F 1540.2 (8-83)			
Tra	<b>COURIER RECEIPT</b>			
Ad	I have received: No. of envelopes <u>1</u> No. of packages ..... No. of containers .....			
Id	Transmitted by <u>John R. Smith, DP-352, U.S. DOE, Washington, D.C.</u> <small>(Name and address of sender)</small>			
	Addressed to <u>Winston L. Naylor, U.S. DOE, Albuquerque, NM</u> <small>(Name and address of addressee)</small>			
	Identified as follows: <u>One(1) sealed envelope identified as WAG 20853</u>			
	<u>James J. Berry</u> <small>(Name of person from whom received (if courier, include Courier Card Number))</small>		<u><i>William L. Naylor</i></u> <small>(Signature of recipient (if courier, include Courier Card Number))</small>	
			<u>Albuquerque, NM</u> <small>(Place of transfer)</small>	
			<u>9/5/85</u> <small>(Date)</small>	

SPD 10-64229-1

ENVELOPES FOR CLASSIFIED CORRESPONDENCE

<b>INNER ENVELOPE (OPAQUE)</b>		
<b>TOP SECRET, SECRET OR CONFIDENTIAL</b>		
<div style="border: 1px solid black; padding: 5px; margin-bottom: 10px;"><div style="display: flex; justify-content: space-between;"><span>RETURN ADDRESS</span><span><b>SECRET</b></span></div><div style="text-align: center; margin-top: 20px;"><b>CLASSIFIED MAIL ADDRESS</b></div><div style="font-size: small; margin-top: 10px;">National Security Information or Restricted Data or Formerly Rest. Data Marking</div></div> <div style="text-align: center; margin-top: 10px;"><b>SECRET</b></div>	<div style="border: 1px solid black; padding: 5px; margin-bottom: 10px;"><div style="text-align: center; margin-top: 10px;"><b>SECRET</b></div><div style="text-align: center; margin-top: 20px;"></div></div> <div style="text-align: center; margin-top: 10px;"><b>SECRET</b></div>	
<b>FRONT</b>		<b>BACK</b>
<b>OUTER ENVELOPE (OPAQUE)</b>		
<b>SECRET</b>	<div style="border: 1px solid black; padding: 5px; margin-bottom: 10px;"><div style="display: flex; justify-content: space-between; font-size: small;"><span>RETURN ADDRESS</span><span>REGISTERED</span><span>PENALTY CLAUSE</span></div><div style="text-align: center; margin-top: 20px;"><b>CLASSIFIED MAIL ADDRESS</b></div></div>	
	<div style="border: 1px solid black; padding: 5px;"><div style="display: flex; justify-content: space-between; font-size: small;"><span>RETURN ADDRESS</span><span>REGISTERED CERTIFIED</span><span>PENALTY CLAUSE</span></div><div style="text-align: center; margin-top: 5px;"><b>EXPRESS</b></div><div style="text-align: center; margin-top: 20px;"><b>CLASSIFIED MAIL ADDRESS</b></div></div>	
<b>CONFIDENTIAL</b>		
<div style="border: 1px solid black; padding: 5px; text-align: center; margin-top: 20px;"><b>CLASSIFICATION FOR EXHIBIT PURPOSES ONLY</b></div>		

CHAPTER V  
ACCOUNTABILITY RECORDS

1. ACCOUNTABILITY.

- a. Accountable matter is Top Secret matter, Secret matter that is maintained outside of Limited or Exclusion Areas, and any matter that requires accountability by National, International, or programmatic requirements. Requirements for Top Secret matter are contained in Chapter XI. All other accountable matter is handled in accordance with this Chapter.
- b. Accountable Secret and Confidential matter must be distinguished from non-accountable matter by markings, coversheets, or other means.
- c. The classified control officer or custodian of accountable matter, at unit or branch level and above, shall maintain a current accountability record showing documents received, transmitted, reproduced, downgraded, declassified, or destroyed. The activity used to achieve this objective will vary from individual to individual (or organization) because of the type of method, equipment, and forms used at various facilities. However, regardless of the method or mechanism used, the record(s) shall show the individual who has possession of the document at any time or the disposition made of it. The appropriate unit will maintain a written plan detailing that unit's procedures for handling classified matter.
- d. The classified control officers or custodians of accountable documents will assign a unique document number to each copy of each accountable document in their accountability system.
- e. The holder (custodian, control officer, or individual) of accountable documents shall maintain an inventory record of all accountable documents in his or her possession. The record shall contain sufficient data to positively identify each accountable document, for example:
  - (1) Type of matter (letter, memorandum, report, teletype, or other);
  - (2) Description (document number, unclassified subject or title, and originator);
  - (3) Document number;
  - (4) Date of the matter;
  - (5) Classification level and category (Restricted Data, Formerly Restricted Data, or National Security Information);

Vertical line denotes change.

| 2. ACCOUNTABILITY RECORDS. A record shall be kept of each accountable document, as follows:

a. When Originated.

- (1) Type of document (letter, memorandum, report, teletype, or other);
- (2) Description (document number, if any, subject or title, and originator);
- (3) Document number;
- | (4) Date of the matter;
- (5) Classification level and category (Restricted Data, Formerly Restricted Data, or National Security Information); and
- | (6) Initial disposition of each copy.

b. When Reproduced.

- (1) Type of document (letter memorandum, report, teletype, or other);
- (2) Description (document number, if any, subject or title, and originator);
- (3) Document number;
- | (4) Date of the matter;
- (5) Classification level and category (Restricted Data, Formerly Restricted Data, or National Security Information);
- | (6) Date of reproduction; and
- | (7) Disposition.

c. When Received or Transmitted.

- (1) Type of document (letter, memorandum, report, teletype, or other);
- (2) Description (subject or title, and originator);
- (3) Document number;
- | (4) Date of the matter;
- (5) Classification level and classification category (Restricted Data, Formerly Restricted or National Security Information);
- | (6) Date received or transmitted;

Vertical line denotes change.

- (7) Sender or recipient; and
- (8) For incoming matter, the assigned custodian.

d. When Destroyed.

- (1) Type of document (letter, memorandum, report, teletype, or other);
- (2) Description (subject or title, and originator);
- (3) Document number;
- (4) Date of the matter;
- (5) Classification level and classification category (Restricted Data, Formerly Restricted Data, or National Security Information Data);
- (6) Date destroyed; and
- (7) Signature of person who destroyed the matter.

e. On Change of Classification.

- (1) Type of document (letter, memorandum, report, teletype, or other);
- (2) Description (subject or title, and originator);
- (3) Document number;
- (4) Date of the matter;
- (5) Classification level and classification category (Restricted Data, Formerly Restricted Data, or National Security Information); and
- (6) Date and nature of action (specify authorizing official).

3. INVENTORY REQUIREMENT. A 100-percent inventory of all accountable documents shall be completed at least once every 36 months by all Departmental Elements, and their contractors. Coincidental with the inventory process, holdings shall be reduced to the absolute minimum consistent with operational requirements, and records of unaccounted-for records shall be periodically validated as determined by local requirements. At the completion of the 100-percent inventory, a report shall be forwarded to SA-10 identifying the following:

- a. Inclusive dates of inventory;
- b. Total document holdings; and
- c. Total unaccountable Secret holdings.

**4. RECORDS RETENTION.**

- a. Records documenting the receipt and issuance of classified matter, exclusive of Top Secret matter, as identified in this chapter (e.g., receipts and logs) shall be destroyed 3 years after the matter shown on the forms are entered into the Classified Document Inventory. DO NOT SEND TO THE FEDERAL RECORDS CENTER.
- b. Records of classified document inventory, such as forms, ledgers, or registers used to show identity, internal routing and final disposition made of classified matter, shall be destroyed 5 years after the final disposition of matter listed in the inventory file or when no longer needed for inventory reconciliation, whichever is greater. DO NOT SEND TO THE FEDERAL RECORDS CENTER. This procedure does not include classified document receipts and destruction certificates and matter relating to Top Secret material covered elsewhere in this Order.
- c. Records of destruction shall be destroyed 5 years after the date of destruction of the matter shown on the forms. DO NOT SEND TO THE FEDERAL RECORDS CENTER.



- a. Prepared for retention or retained beyond a 60-day period.
  - b. Transmitted outside the automated data processing center or facility in which originated.
5. CONFIDENTIAL DOCUMENTS. The same record-keeping procedures prescribed for Secret documents may be used for Confidential documents at the discretion of the DOE or DOE contractor organization.
6. RECORDS RETENTION. Accountability records for Secret documents, as identified in this chapter, (e.g., receipts, logs, and destruction certificates shall be maintained for a minimum of 5 years, pending approval of the National Archives. This procedure does not necessarily apply to internal control receipts.

## CHAPTER VI

### REPRODUCTION OF SECRET AND CONFIDENTIAL DOCUMENTS

#### 1. DOE EMPLOYEES AND CONTRACTORS.

- a. Secret Documents. Written authorization shall be obtained to reproduce and distribute a Secret document originated by the Department or its contractor employees, including the correct series designation from the originator or designee, his or her successor, or higher authority. However, the following are exceptions to this requirement.
  - (1) When an urgent need exists, verbal approval may be obtained from the originator followed by a written confirmation.
  - (2) When immediate reproduction of additional copies is required and verbal or written approval cannot be obtained from the originator, a minimum number of copies may be reproduced by the custodian who shall then notify the originator and obtain written confirmation for the reproduction.
  - (3) When reproduction is of enlarged copies of Secret drawings, blueprints, charts, or other Secret microfilm images appearing on aperture cards, authorization is not required.
  - (4) The Office of Scientific and Technical Information (MA-28) is authorized to reproduce scientific and technical reports in hardcopy and microfiche form without prior notice to the originator. Copies of Secret scientific and technical reports reproduced in hardcopy by MA-28 shall contain the series designation "TA," "TB," "TC," or other appropriate alphabetical series designation depending on the number of sets reproduced.
- b. Confidential Documents. Confidential documents may be reproduced as needed without obtaining authorization from the originator, unless reproduction is restricted by the originator. The reproduction of Confidential documents shall be kept to the absolute minimum number of copies required in the performance of official business.
- c. Review for Declassification. The provisions of paragraphs 1a(1), (2), and (3) shall not restrict the reproduction of documents for facilitating review for declassification. However, reproduced documents that remain classified after review must be destroyed after use.

d. Microfilming.

- (1) Microfilm reproduction for vital record purposes may be made without obtaining consent of the originator.
- (2) Reproduction of microfilm for other purposes shall take place in accordance with provisions of paragraphs 1a(1), (2), and (3) applicable to reproduction of documents of the classification category involved.

2. REPRODUCTION BY OUTSIDE AGENCIES. When Secret documents are transmitted to outside agencies, the documents may be reproduced without DOE or contractor consent unless the addressee is advised in writing that reproduction requires the written consent of the originator, the originator's successor, or a higher authority. Therefore, it is recommended that originators of Secret (Confidential when appropriate) documents routinely attach a reproduction limitation note to the front of such documents that are likely to be distributed outside the DOE.
3. CLASSIFICATION AND OTHER MARKINGS ON REPRODUCTION. If an exact copy of a classified document is prepared, it will bear the same classification level and other markings as the document from which it is produced, except for the new copy number series designation (a new series designator is required and is obtained from the originator). If part of a classified document is reproduced and is incorporated in another document, it will bear the markings determined appropriate by the classifying officer in the office reproducing the document.
4. DOCUMENTATION. All Secret documents reproduced shall be documented. The person granting permission for the reproduction shall assign the proper series designation. Copies reproduced prior to consent, shall be corrected if the originator advises that the series designation is incorrect. The documentation of draft copies or worksheets shall designate the draft or worksheet number, for example; "Draft 1," "Draft 2," "Worksheet 1," or "Worksheet 2." If drafts or worksheets of Secret documents are reproduced, the copies shall be documented as "Copy 1 of 5 Series Draft (Second Run)," "Copy 2 of 5 Series Draft 2 (Third Run)." If practical, drafts and worksheets should be destroyed when a final document is prepared.
5. PHOTOCOPY MACHINES. Reproduction of classified information shall be accomplished under appropriate security conditions to preclude unauthorized access to classified information. Classified copying shall not be performed in the presence of uncleared persons. Care shall be taken to ensure no classified waste is trapped in the equipment, and the machine shall be cleared of all possible residual classified images by running blank sheets through the machine following classified

reproduction. Machines repeatedly or routinely used for reproduction of classified information shall be located in a security area. Notices regarding the restrictions and requirements of reproducing classified information shall be conspicuously posted next to the equipment.

6. GRAPHIC ARTS PROCESSES. During the reproduction of Secret and Confidential information using graphic arts processes, the following provisions shall be established:
  - a. Except in permanently established areas, during the layout, composition, platemaking, presswork, and bindery stages of the reproduction of classified matter, controls will be established to deny unauthorized access to the immediate area in which such work is being performed.
  - b. When presses are being made ready or being run, they shall be identified and marked conspicuously at the same level and category of the classified information being run.
  - c. All assembled copies of printed classified matter in excess of the number of copies ordered are to be designated as overruns. They will be held to a minimum, and an exact count maintained and accounted for. Overruns and spoiled copies shall be returned to the customer or appropriately destroyed.
  - d. A record shall be kept of the number and disposition of proofs.

## CHAPTER VII

### SECURITY REPOSITORIES AND STORAGE

1. SECURING REPOSITORIES. DOE 5632.4 describes DOE requirements for protecting classified interests.

- a. Storage Facilities. Only approved storage facilities shall be used for storing classified matter (see DOE 5632.4).
- b. Records of Combinations. A central record of all combinations within an organization (unit/branch level and above) shall be maintained. The record of combinations shall be classified in accordance with the classification level and category of the most sensitive classification information contained in the security container or vault. Care shall be exercised to ensure that access to combinations of containers holding classified documents or materials are limited to individuals with an appropriate access authorization that permits access to the container's contents on a need-to-know basis.
- c. Selection of Combination Settings. Combination numbers shall be selected at random, avoiding simple arithmetical ascending or descending series, such as 10-20-30, 50-40-30, and so forth. Also, care must be exercised to avoid selecting combinations of numbers that are easily associated with the person(s) selecting the combination (e.g., birth dates, anniversaries, social security numbers, or telephone extensions).
- d. Change of Combinations.
  - (1) For Top Secret Repositories refer to Chapter XI.
  - (2) Secret and Confidential Repositories. Combinations shall be changed, as follows:
    - (a) At least once every 12 months;
    - (b) Whenever containers are placed in use;
    - (c) Whenever a person knowing the combination no longer requires access to the container;
    - (d) Whenever the combination might have been compromised; and

- (e) When containers are removed from service; the existing combination shall be changed to the manufacturer's setting of 50-25-50, and the custodian shall affix written certification to the container that it has been inspected and no longer contains any classified matter.

e. Security Repository Information.

- (1) Security Container Information. SF-700, "Security Container Information" (see Attachment VII-1) shall be used in all situations requiring the use of a security container information form (i.e., all security containers, approved rooms or vaults, and other approved space for the storage of classified matter).

- (a) SF-700 shall be completed according to the instructions contained thereon with the exception as noted in 1(b) below.
- (b) Part I of SF-700 shall be affixed to security containers to ensure high visibility. On rooms or vaults, Part I of SF-700 shall be affixed to the inside of the door that containing the combination lock. On security containers, it shall be placed on the inside (back front) of the locking drawer or on the front of the locking drawer, at the user's discretion.
- (c) Part 2 and 2A of each completed copy of SF 700 shall be classified at the highest level of classification of the information authorized for storage in the repository and shall be forwarded to the central records for storage as indicated in paragraph 1b above. (See page XI-8, paragraph 3j for information on combinations to Top Secret repositories.)

(2) Security Container Check Sheets.

- (a) SF-702, "Security Container Check Sheet" (see Attachment VII-2), provides a record of the names and times that persons have opened, closed, or checked a particular container, room, or vault holding classified information.
- (b) SF-702 shall be used in all situations requiring the use of a security container check sheet and shall be affixed to the container or entrance to a room or vault to ensure high visibility on inspection.

- (3) Activity Security Checklist. SF-701, "Activity Security Checklist," (see Attachment VII-3) provides a systematic means of checking end-of-day activities for a particular work area, allowing for employee accountability in the event that irregularities are discovered. The use of SF-701 is optional; however, in situations requiring end-of-day security inspections, SF-701 shall be used.

2. STORAGE OF INACTIVE SECRET AND CONFIDENTIAL NONWEAPON DATA DOCUMENTS IN FEDERAL RECORDS CENTERS. DOE and its contractors may use Federal records centers for storing inactive Secret and Confidential nonweapon data documents, subject to the following requirements:

- a. The record storage center must be approved by the National Archives and Records Administration (NARA) for storage of documents at the level and category of classified information involved.
- b. DOE security facility approval of the storage center must have been granted.
- c. A clearly defined and controlled physical space is allocated in the record storage center to which only properly cleared and authorized DOE or contractor or Federal records center personnel shall have access in connection with their official duties.
- d. DOE classified documents shall not be commingled with documents stored by other agencies. Boxes of classified documents may be stored in the same room or vault with documents of other agencies, provided that procedures are established to ensure that access to the documents is limited to properly cleared and authorized personnel.
- e. Heads of Field Elements and the Director of Safeguards and Security for Headquarters shall establish any limitation based on sensitivity or other security considerations on the type and category of classified documents that shall be excluded from storage in Federal record centers.
- f. The DOE or contractor organization initiating the request for storage of Secret and Confidential documents in Federal records centers shall keep a record describing the documents forwarded and the boxes in which they are contained. Records shall be kept of withdrawal, reproduction, destruction, or any other action taken.

**SECRET**

CONTAINER NUMBER  
PSB 11223

## COMBINATION

4	turns to the	at	19
3	turns to	stop at	60
2	to	(empty) stop at	28
1		(empty) stop at	0

~~SECRET~~  
WARNING

THIS COPY CONTAINS CLASSIFIED INFORMATION WHEN  
COMBINATION IS ENTERED

-----  
UNCLASSIFIED UPON CHANGE OF COMBINATION

**2A**      **INSERT IN  
ENVELOPE**      **SF 700 (8-85)  
Prescribed by  
GSA/ISOO  
32 CFR 2003**

**WARNING**

WHEN COMBINATION ON PART 2A IS ENCLOSED, THIS ENVELOPE MUST BE SAFEGUARDED IN ACCORDANCE WITH APPROPRIATE SECURITY REQUIREMENTS.

<b>SECURITY CONTAINER INFORMATION</b> <b>INSTRUCTIONS</b> 1. COMPLETE PART 1 AND PART 2A (ON END OF FLAP) 2. DETACH PART 1 AND ATTACH TO INSIDE OF CONTAINER 3. MARK PARTS 2 AND 2A WITH THE HIGHEST CLASSIFICATION STORED IN THIS CONTAINER. 4. DETACH PART 2A AND INSERT IN ENVELOPE. 5. SEE PRIVACY ACT STATEMENT ON REVERSE.		1. AREA OR POST (if required) <b>Zone #4</b>		2. BUILDING (if required) <b>Forrestal</b>		3. ROOM NO. <b>1G-042</b>	
		4. ACTIVITY (DIVISION, BRANCH, SECTION OR OFFICE) <b>Physical Security Branch</b>		5. CONTAINER NO. <b>11223</b>			
		6. MFG. & TYPE CONTAINER <b>MOSIER/2Dr</b>		7. MFG. & TYPE LOCK <b>S&amp;G 3Way Com</b>		8. DATE COMBINATION CHANGED <b>04-10-87</b>	
		9. NAME AND SIGNATURE OF PERSON MAKING CHANGE <b>Charles Jones</b> <i>[Signature]</i>					
10. Immediately notify one of the following persons, if the container is found open and unattended							
EMPLOYEE NAME		HOME PHONE					
Charles Cooper		8405 11 0- 60743		301/248-1234			
Thomas J. Royal		and Ave VA 20331		703/567-4321			

**1. ATTACH TO INSIDE OF CONTAINER**

700-101  
NSN 7540-01-214-5372

**STANDARD FORM 700 (8-65)**  
Prescribed by GSA/ISOO  
32 CFR 2003

\* U.S. GOVERNMENT PRINTING OFFICE: 1989 - 485-088



# SECURITY CONTAINER CHECK SHEET

[illegible][illegible]

ACTIVITY SECURITY CHECKLIST

ACTIVITY SECURITY CHECKLIST				DIVISION/BRANCH/OFFICE													ROOM NUMBER			MONTH AND YEAR														
				Division of Security, Physical Branch													1G-0420			April 1987														
Irregularities discovered will be promptly reported to the designated Security Office for corrective action.				<p align="center"><u>Statement</u></p> <p align="center">I have conducted a security inspection of this work area and checked all the items listed below.</p>																														
TO (If required)				FROM (If required)													THROUGH (If required)																	
Director, Division of Security				Charles Smith, Security Specialist													Chief, Physical Branch																	
ITEM	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31			
1. Security containers have been locked and checked.	✓	✓	✓	✓	✓																													
2. Desks, wastebaskets and other surfaces and receptacles are free of classified material.	✓	✓	✓	✓	✓																													
3. Windows and doors have been locked (where appropriate).	✓	✓	✓	✓	✓																													
4. Typewriter ribbons and ADP devices (e.g., disks, tapes) containing classified material have been removed and properly stored.	✓	✓	✓	✓	✓																													
5. Security alarm(s) and equipment have been activated (where appropriate).	✓	✓	✓	✓	✓																													
INITIAL FOR DAILY REPORT	CS	CS	CS	CS	CS																													
TIME	1800	1815	1830	1845	1820																													

EXAMPLE

CHAPTER VIII

UNACCOUNTED-FOR OR COMPROMISED DOCUMENTS OR COMPROMISES OF INFORMATION

1. GENERAL. This chapter covers situations where classified documents are unaccounted for within a facility or where compromises or possible compromises of classified documents or information under circumstances of an allegedly or suspected violation of Federal law have actually or allegedly occurred. DOE 5631.5, VIOLATION OF LAWS, LOSSES, AND INCIDENTS OF SECURITY CONCERN, should be consulted for requirements in conjunction with losses of classified documents outside security areas or incidents involving alleged or suspected violations of Federal laws.
  - a. DOE or Contractor Originated Documents. Any person who discovers that a classified document or classified information has been compromised or might have been compromised shall immediately initiate a report to the appropriate cognizant DOE security officer on the occurrence who shall then report the incident to the Director of Safeguards and Security within 24 hours of the notification. Normally, such a report shall be sent through the usual administrative channels, but if time is of the essence, the incident shall be immediately reported to the Director of Safeguards and Security by telephone (secure telephone, if appropriate) followed by prompt written confirmation of the circumstances and all pertinent known facts.
  - b. Forty-Eight Hour Search. At the discretion of DP-34 or Heads of Field Elements, a 48-hour search period may be allowed prior to a detailed report on unaccounted-for Secret or Confidential documents.
  - c. Documents of Other Agencies. Regarding other agency classified documents that are unaccounted for, or classified documents or information of other agencies compromised or possibly compromised, DP-34 shall report the matter to the originating agency and any other interested agency, as needed.
  - d. Alleged or Suspected Violation of Federal Law. When a violation of Federal law is alleged or suspected in connection with any incident referred to in this chapter, the incident must be immediately reported in accordance with the provisions of DOE 5631.5.
  - e. Written Matter Relating to Unaccounted-For, Compromised, or Possibly Compromised Documents or Information. Correspondence or other written matter regarding unaccounted-for classified documents, or unaccounted-for documents or information that have or may have been compromised, shall be marked according to applicable classification guidance.

- f. Notification to the Director of Safeguards and Security Concerning Top Secret, Other Agency, or Other Government Information. Heads of Departmental Elements shall immediately notify the Director of Safeguards and Security by secure telecommunications on the following:
- (1) Any Top Secret document that becomes unaccounted for or any Top Secret document or information that is compromised or possibly compromised.
  - (2) Any classified document of another agency or of a foreign government that is unaccounted for or any classified information of another agency or of a foreign government that becomes compromised or possibly compromised.
- g. Content of Document Notification Report. A document notification report submitted to the Director of Safeguards and Security (see DOE F 5635.11, "Reporting Unaccounted For Documents," Attachment VIII-1) shall contain the following:
- (1) Title and type of document and brief description of contents;
  - (2) Document number, including copy and series number if any, date of document, and number of pages;
  - (3) Classification level and category of document and whether the document contains classified intelligence information;
  - (4) Author of document and originating organization;
  - (5) Name of person currently responsible for custody of the document;
  - (6) Names of personnel who have had access to existing copies and unaccounted-for copy or copies;
  - (7) Date the document was last accounted for, date the document became unaccounted for, compromised, or possibly compromised;
  - (8) The known circumstances of the matter; and
  - (9) Action taken.

- h. Follow-up Notification. Heads of Departmental Elements shall notify the Director of Safeguards and Security (as set forth in paragraph 1F above) on any additional information regarding matters covered by this chapter uncovered after the initial notification. If an unaccounted-for document is subsequently accounted for, the notification shall describe the circumstances.
- i. Action to be Taken. When a classified document is unaccounted for, Heads of Field Organizations or the Director of Safeguards and Security shall ensure that a search is made by DOE or contractor employees for the unaccounted-for document. The following actions shall be taken as a minimum:
  - (1) Interview with the last known custodian and have that individual and the other personnel who may have pertinent information prepare a signed memorandum on the accountability of the document or the circumstances under which the document became unaccounted for.
  - (2) Review by an authorized classifier of the classification level assigned to the document at the time the document became unaccounted for. If another copy of an unaccounted-for classified document exists, arrangements shall be made to review the document to determine the current classification and to hold the copy for future reviews.
  - (3) Physical search of the office of the last known custodian and other offices where the document may logically be found. A signed memorandum shall be submitted by the organization involved stating that the search of each such office has been conducted.
    - (a) The wording of the submitted statement shall be as follows: "A complete search has been made of the following offices (insert appropriate information) and the document has not been located. This search has included an examination of the document control records and other documents to assure that the document is not misfiled."
    - (b) A part of any search shall include a review of the custodian's records, the central files, and the local central document control office (if any) (e.g., downgrade notices, destruction certificates, classified document receipts, letters of transmittal, and incoming and outgoing mail logs).

- (4) Determination of the reason why the document is unaccounted for and action to prevent recurrence.
  - (5) In the case of alleged or suspected violation of law or loss of classified documents outside a facility, when the Federal Bureau of Investigation does not contemplate an investigation, an immediate search shall be conducted by or under the supervision of the responsible DOE or contractor officer in accordance with the above procedures.
  - (6) When a classified document is or might have been compromised and the provisions of DOE 5631.5 are not applicable, Heads of Field Organizations, or for Headquarters, the Director of Safeguards and Security shall ensure that an appropriate inquiry is effected to determine the facts.
- j. Records of Action Taken. A separate case file or other record shall be maintained reflecting the action taken on each incident of an unaccounted-for document, a compromised or possibly compromised document, or compromised or possibly compromised classified information.
- k. Quarterly Report. Field organizations shall obtain from Departmental Elements and contractors or subcontractors under their jurisdiction statistical reports of unaccounted-for classified documents on or before the 10th day of January, April, July, and October for the preceding quarter.
- (1) The report shall contain the following information on the number of classified documents:
    - (a) Reported as unaccounted for during the period.
    - (b) Removed from unaccounted-for category during the period by the following:
      - 1 Location;
      - 2 Declassification; or
      - 3 Other means (explain).
    - (c) Remaining unaccounted for at the end of the period.
  - (2) Report and/or control numbers of any Secret reports included in paragraphs (1) and (2) above shall be specified. Further, for each category listed above, the figures submitted shall show

the number and classification of documents involved. The information on each area office, field organization, and principal contractor or subcontractor shall be stated separately in the report. The reports described above shall be assembled, tabulated, and made available at field organizations for review by visiting Headquarters inspection and evaluation teams. A copy of this report shall be promptly forwarded to DP-34.

2. NOTIFICATION TO INFORMATION SECURITY OVERSIGHT OFFICE. On receiving written confirmation from a Departmental Element on an unauthorized disclosure of or access to National Security Information by a DOE employee, contractor, or consultant, DP-34 shall notify the Information Security Oversight Office of the details of such disclosure. Such notification shall be given immediately when the disclosure results from systematic problems. Otherwise, semiannual reports of unauthorized disclosures shall be made.

REPORTING UNACCOUNTED-FOR DOCUMENTS

DOE F 5635.11  
(1-84)  
(Previously DP-H179)

U.S. DEPARTMENT OF ENERGY

**REPORTING UNACCOUNTED FOR DOCUMENTS**

The following information is furnished to the Director of Safeguards and Security, in accordance with HQ Appendix 2105 and in follow-up to the oral report made by

Charles H. Chan

(Name)

to Richard Cook, Director, OSS/SR

February 15, 1987

(Date)

(Name of Security Representative)

February 17, 1987

(Date)

Signature of Office Director, or Division Head

(If possible avoid including information that would necessitate classification of this form)

**1. DOCUMENT IDENTIFICATION**

(a) Document number (T/S identification, weapon data report, research and development report, etc.)

None

(b) Copy number

3 of 6 copies, series A

Number of pages 7

(c) Date of document

December 6, 1986

(d) Classification

Top Secret ☐ Secret ☒ Confidential ☐

(e) Type of Information

Restricted Data ☐ Restricted Data ☒

Defense Information ☐

(f) Title or subject

Tritium Production Projections, 1990-1995

(g) Originator

Lion Chemical Corporation

(h) Addressee

P.O. Box 711  
Lincoln, TN 66666

(i) Type of document (size, color, memoranda, original, carbon copy, photostat, etc.)

Booklet, 8 1/2 x 11 inches, blue cover, stapled on left margin, cover memo signed by Chan.

**2. OFFICE ACCOUNTABILITY**

(a) Date document entered office accountability

January 5, 1987

(b) Personnel in office who have had access to existing copies as well as unaccounted for copy (or copies)

Martin W. Chan, Supervisor (Cy 3)  
Charles Smith, Accountability (Cy 1)  
Larry P. Jones, Analyst (Cy 2)

(c) Personnel outside office who have had access to existing copies as well as unaccounted for copy (or copies)

Linda B. Leonard, Chemist, (Cy 5)  
Terri Parker, Accountability (Cy 6)  
L. Harrison, Dalton, V.P. Binder Chem. (Cy 7)

**3. UNACCOUNTABILITY**

(a) Time and date document was first determined unaccounted for

February 14, 1987

(b) Full statement regarding unaccountability. Use blank portion on reverse side or attach extra sheet to include the following:

- (1) Reason why document is believed to be misfiled or definitive statement of destruction without record, OR
- (2) Indication or allegation that the document(s) have been either stolen, concealed, misappropriated, or lost under circumstances indicating violation of Federal statute, AND
- (3) Whether or not document is considered to be of great importance to the DOE program and reasons therefor, AND
- (4) If appropriate, statement of improper possession by unauthorized persons.



REPORTING UNACCOUNTED-FOR DOCUMENTS

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4. OFFICE ACTION

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(a) Person responsible for this security infraction. Martin W. Chan, Supervisor, Production Division

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(b) Corrective action taken with person responsible for this security infraction.

This is Mr. Chan's first security infraction and counseling was conducted in accordance with DOE 5635.1A. Mr. Chan was made aware that subsequent infractions will result in more stringent measures.

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(c) Corrective action taken to prevent recurrence of similar incident in the future.

All office personnel have been briefed and advised that the proper return of documents to files and strict accountability must be maintained. Procedures outlined in DOE 5635.1A must be followed.

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(d) Result of search to account for document(s), including statement that all files in division or office have been checked.

A detailed search of the three repositories under Mr. Chan's control has been initiated and is continuing. A final report will be provided not later than February 22, 1987.

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(e) Attach signed statement by person responsible for security infraction and statements by all other persons involved in the unaccountability of the document(s)

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This space is to be used for completion of item 3 or other necessary. Extra sheets shall be attached in order to complete this report.

---

EXAMPLE

The unaccounted-for document believed to be misfiled. On February 13, 1987, at 0800 hours, the document was removed from the Division files and the sign-out sheet was initialled by Mr. Chan. The document was returned at 1400 hours and the sign-out form appropriately initialled showing its return. Two other office members that could have had access to the repository were on travel and could not have had access to the document when the unaccountability occurred. Mr. Chan is positive that he returned the document but has not been able to locate it as of February 17, 1987. It is not believed that the document has been compromised but rather mis-placed/filed. Mr. Chan is continuing an inventory of the repositories and will advise the Document Control Facility and OSS Division of the final results by February 20, 1987. The document is considered to be a critical sensitive document and every effort is being taken to locate the document. A copy of the document has been forwarded to the Office of Classification for a classification determination.

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## CHAPTER IX

### CLASSIFIED DOCUMENTS FURNISHED TO OTHER GOVERNMENT AGENCIES AND SAFEGUARDING THE DOCUMENTS OF OTHER AGENCIES

#### 1. CLASSIFIED DOCUMENTS FURNISHED TO OTHER GOVERNMENT AGENCIES.

Safeguarding classified documents furnished to other Government agencies, their contractors, or members of the armed forces shall be the responsibility of those agencies or the armed forces, except to the extent that DOE in a contract or agreement reserves the right to control the dissemination of Restricted Data. However, personnel of other Government agencies and their contractors and members of the armed forces shall secure DOE consent for the following:

- a. To reproduce copies of Top Secret documents originated by DOE or contractors or Secret documents originated by DOE or contractors when correspondence from DOE or contractors specifically requests such action.
- b. To transmit to another Government agency or its contractors or to a foreign government classified documents originated by DOE or its contractors.
- c. To downgrade, declassify, or transclassify classified documents originated by DOE or its contractors.

#### 2. DOCUMENTS OF OTHER AGENCIES.

##### a. Safeguards to be Afforded.

- (1) Documents of other agencies shall be safeguarded with at least those precautions prescribed for documents of the same classification level and category originated by DOE.
- (2) Secret documents originated by other agencies shall be documented when received by DOE or its contractors, unless the documents have been appropriately documented or contain serial numbers assigned by the originating agency.
- (3) In addition to the documentation prescribed on page III-21, paragraph 6, an abbreviation of the Departmental Element or contractor or subcontractor receiving a Secret document may be used in conjunction with the series designation where there is indication of the transmission of more than one copy, for example:

"This Document Consists of 5 Pages

No. 1 of 3 Copies, Series OSS-A."

- b. Designation of Downgrading or Declassification. When another agency notifies DOE or its contractors of the downgrading or declassification of documents originated by that agency or its contractors, or the fact that such documents are to be downgraded or declassified after a date or event, DOE or its contractor custodians shall place the appropriate notation on the documents involved.
- c. Transmission Outside DOE or Contractor Facilities. Classified other-agency documents shall not be disseminated outside DOE (e.g., to an outside agency other than the originating agency) without the written consent of appropriate persons in the originating agency.
- d. Reproduction. Secret and Confidential other-agency documents may be reproduced for official purposes by employees of DOE or DOE contractors who require copies to perform their duties, unless restrictions on reproduction appear on the face of the documents or on the transmittal correspondence to DOE or its contractors. Documentation shall be in accordance with page III-21, paragraph 6. The above restrictions shall not restrict the reproduction of documents to facilitate review for declassification (see Information Security Oversight Office Directive No. 1, paragraph 2001.46(d); also page VI-1, paragraph 1c of this Order). After such review, the reproduced documents that remain classified must be destroyed in accordance with Chapter X.
- e. Change of Classification. Classified documents of other agencies shall be downgraded or declassified only after consent of the originating agency or the Government. Such coordination with other agencies should be done through the Director of Classifications. However, such coordination does not apply to the declassification of documents with a specified, automatic declassification date.
- f. Registered Documents. On occasion, DOE or DOE contractor employees will receive documents originated by DOD employees, which are numbered and contain the notation on the cover, "Registered Document," "Serial Document," or a similar designation. In such cases, DOE or contractor personnel shall comply with the inventory and reporting requirements established by the originating agency. The Director of Safeguards and Security should be consulted on these requirements.

- g. Other-Agency Documents Not Conforming To DOE Requirements. Documents received from an outside agency not marked or documented to conform to DOE requirements shall be marked and documented prior to further distribution or transmittal outside of the receiving organization (e.g., National Security Information, documentation stamp and required information). The series designation "A" shall be applied to the copy(ies) initially received. Reproductions or subsequent copies received shall be assigned series in alphabetical sequence, starting with Series "B" (see Chapter III, page III-21, paragraph 6).
- h. Improperly Classified Documents Received From an Outside Agency. The recipient shall protect the document at the highest level and category deemed appropriate pending a resolution with the originating agency.
- i. Documents Received From Foreign Governments or International Organizations.
  - (1) Classified documents originated by a foreign government or international organization shall retain their original classification level marking or be assigned an appropriate U.S. classification level marking. In either case, the marking must ensure a degree of protection equivalent to that required by the government or organization that originated the documents. Any such classified documents shall not be declassified or downgraded without the prior consent of the foreign government or international organization that originated them.
  - (2) If the foreign classification is in English, no additional U.S. classification marking is required. If the classification level marking is in a foreign language, an equivalent U.S. classification level marking will be added. Attachment III-29 lists foreign classification markings as an aid in translating such foreign markings or determining their meanings.
  - (3) Except in cases where such markings would reveal intelligence information, the origin of foreign government information bearing a classification level marking, including information extracted and placed in a DOE document, shall, whenever practicable, be clearly indicated on the document to ensure that the information is not declassified prematurely or released to nationals of a third country without the consent of the originating nation or international organization.

- j. Foreign Restricted Documents. Documents classified "Restricted," originated by other governments or prepared in conjunction with other governments (e.g., allied restricted documents) must be safeguarded as follows:
- (1) Access may be granted to persons with at least an "L" access authorization or a Confidential clearance granted by another Federal agency provided that an official need-to-know exists.
  - (2) Storage is required when documents are unattended. Locked repositories of any type are acceptable.
  - (3) Transmission shall be by one of the means established for Confidential.
  - (4) Destruction shall be in accordance with Chapter X.
  - (5) Documents That Are Unaccounted For or Compromised shall be handled in accordance with the provisions applicable to Confidential documents.

## CHAPTER X

### DESTRUCTION OF SECRET AND CONFIDENTIAL DOCUMENTS

1. DISPOSITION. Documents shall be disposed of in accordance with the disposition schedules set forth in DOE 1324.2, RECORDS DISPOSITION.
2. SECRET DOCUMENTS.
  - a. Records. Records of Secret documents destroyed shall be maintained; DOE F 5635.9, "Record of Destruction," (see Attachment X-1), or a form similar in content may be used. Destruction records shall be held for a minimum of 5 years, pending approval of the National Archives.
  - b. Who Destroys. Procedures for proper destruction of classified material by custodians or by other appropriately cleared and authorized individuals shall be established and implemented.
  - c. Method of Destruction. Classified matter may be destroyed by burning, melting, chemical decomposition, pulverization, disassembly, mutilation, or burying (with approval of the cognizant DOE security office). Destruction procedures shall be sufficient to preclude the recognition, reproduction, or reconstruction of the classified information. Shaving is permissible for cylinders. Cylinders that cannot be shaved and disks or other sound recordings shall be broken or torn and burned, depending on composition. Documents destroyed by shredding shall be reduced to individual particulate and produced in sufficient quantities and types of paper to preclude recognition and reconstruction. Individual particulate reductions of (with a permissible tolerance of 1/64") up to but not greater than 1/32" X 1/2" is acceptable. Because of information density, microforms are not adequately destroyed by conventional document destruction devices. Thus, only incineration or chemical stripping are acceptable methods. The organization's security office should be contacted for specific guidance regarding the chemical stripping methods required for various forms of microform. Erasure of tapes, diskettes, and cassettes does not constitute destruction except by approved degausers.

- d. Disposal of Waste. Ink or carbon ribbons used in typing machines (e.g., typewriter, teletype, etc.), carbon paper, notes, drafts, worksheets, imperfect copies of masters, and any classified matter in excess of operational needs (including waste and research and development items) shall be stored or destroyed commensurate with the level and category of documents to which they contributed. Such matter shall be destroyed as soon as possible after use.
  - e. Inventory Reductions. When classified document inventories are no longer required for operational, research, or historical purposes, they shall be destroyed. Individual users shall routinely question if a document can be disposed of or referred for declassification.
3. CONFIDENTIAL DOCUMENTS. Confidential documents shall be destroyed as prescribed in paragraph 2b, c, and d, above. Records of destructions are not required.
4. USE OF PRESSES AND PLATES. Destruction of presses or plates used to reproduce classified information, shall be as follows:
- a. The "regaining" of reproduction plates shall not be considered a method of destruction. Plates will be destroyed by those methods described in Paragraph 2c of this chapter.
  - b. Rollers and other parts of presses that retain impressions of classified information shall be cleaned to remove the classified information at the end of the run.

RECORD OF DESTRUCTION

U.S. DEPARTMENT OF ENERGY					
DOE F 5635.9 (1-84) (Previously DP-H68)					
RECORD OF DESTRUCTION					
INSTRUCTIONS: 1. Avoid use of classified subjects, titles or descriptions. 2. If downgraded from TOP SECRET, list the Authentication Symbol, document number, copy number, and series designation.					
DESCRIPTION OF DOCUMENT (Subject or title and originator)	IDENTIFICATION NUMBER (If none, omit)	DATE OF DOCUMENT	CLASSIFICATION (Indicate whether or not R/D, FRD or NSI)	COPY and SERIES	NUMBER of PAGES
Memo: T. Park to S. Davis Subject: Physical Informa- tion.		08/26/86	S/NSI	1A	2
<b>EXAMPLE</b>					
I CERTIFY THAT THE DOCUMENTS LISTED ABOVE HAVE BEEN DESTROYED IN ACCORDANCE WITH CURRENT SECURITY REGULATIONS.					
Signature, Organization, and Title of person destroying document <i>James J. Jones</i> James J. Jones, DP 0071, Security Specialist				Date of Destruction 9/10/86	



CHAPTER XI  
CONTROL OF TOP SECRET DOCUMENTS

1. GENERAL.

- a. This Chapter prescribes the Top Secret accountability and control procedures, including using an identification control number, receiving Top Secret documents, and identifying each person who has had access to the document during its life cycle. Also included are instructions for using Top Secret cover sheets, governing the reproduction, inventory, and destruction or disposal of Top Secret documents.
- b. Access to Top Secret information shall only be granted to persons who possess the appropriate access authorization and need-to-know and have been granted specific written authorization by the concerned Heads of Departmental Elements.
- c. Formalized local procedures shall be established for the internal safeguarding and handling of Top Secret documents in each Headquarters division or office and in comparable organizational units in each field organization. Heads of Field Elements shall ensure that contractors establish similar procedures.
- d. The Office of Safeguards and Security (DP-34) has responsibility for the central control and accountability of all Top Secret documents within the DOE program. To administer this program, a central Top Secret control station is established under the supervision of a Top Secret control officer and his or her alternate to maintain central inventory and accountability records, to authenticate notices, to document transfer transactions, and to effect downgrading and declassification actions on the recommendation of the Office of Classification (DP-32).

2. AUTHENTICATING OFFICIALS.

- a. Who Authenticates. The authority to classify Top Secret documents is restricted to Top Secret classifiers, or in their absence, designated alternates.
- b. Designation of Top Secret Classifiers. Only persons occupying positions designated by the Director of Office of Classification are authorized to classify Top Secret documents.

- (1) The request for designation of the Top Secret classifier or the person to act in his or her absence (alternate) shall be submitted to the Office of Classification (DP-32).
  - (2) Alternate Top Secret classifiers shall perform authentication functions only in the absence of the Top Secret classifiers as opposed to performing authenticating functions as an "Alternate Top Secret Classifier."
  - (3) Authenticating symbol (i.e., Roman numerals such as IX and CLX) is assigned by DP-34 to Top Secret classifiers. Prior to notifying an individual of his or her approval as a Top Secret Classifier, DP-32 shall coordinate with DP-34 to ensure that the correct authenticating symbol is assigned. The individual shall be notified in writing of his or her approval, including the assigned authenticating symbol. (See page XI-21, paragraph 15 regarding status of authenticating symbol when a Top Secret classifier transfers from or terminates his or her position).
- c. Duties of Top Secret Classifiers. Top Secret classifiers have the following duties:
- (1) Determining that documents contain Top Secret information.
  - (2) Ensuring that only the minimum number of copies of Top Secret documents are prepared;
  - (3) Conducting an annual review of Top Secret documents to determine whether documents should be destroyed or returned or whether their classification should be changed;
  - (4) Authorizing reproduction of Top Secret documents;
  - (5) Authorizing change of classification (including declassification or downgrading of documents) when the authority has been delegated to Top Secret classifiers; and
  - (6) Certifying the authentication of Top Secret documents to Central Top Secret Control by using DOE F 5630.11, "Top Secret Authentication Notice" (See Attachment XI-1).

3. PREPARATION.

a. Authentication.

- (1) Review by Top Secret Classifiers. The Top Secret classifier shall review any document originated by personnel of his or her division, office, or facility that the originator thinks contains Top Secret information to determine whether the document should be classified Top Secret.
- (2) Review of Other Agency Documents. The Top Secret classifier shall review all Top Secret documents received from non-DOE sources to confirm the authenticity of the documents and to enter them in the DOE Top Secret central accountability system. Should any question arise on the authenticity of such documents, the issue will be resolved by DP-32.
- (3) How Documents are Authenticated.

- (a) When the Top Secret classifier determines that a document is Top Secret, he or she shall place an authentication stamp (see Attachment XI-2) on the first page of each copy of the document and sign all copies of the document in the original series. If the alternate person acting in the absence of the official does the authenticating, he or she shall sign his or her own name, indicating that he or she is acting for the Top Secret Classifier:

AUTHENTICATED February 16, 1982

U.S. DEPARTMENT OF ENERGY

By: (Signature)

John Smith, Director of Military Application, HQ

DOCUMENT NO. LXXXI-18-3A

- (b) The document number consists of the following:

- 1 The authenticating symbol (LXXXI, the Roman numeral assigned to the authenticating official);
    - 2 The number "18" (in the illustration above), which means that the document is the 18th authentication under that symbol;

- 3 The number "3" (in the illustration above), which indicates that this is the third copy prepared on origination; and
- 4 The series designation "A" (in the illustration above), which reveals that this is the set of copies prepared on origination.

(4) Drafts, Master Copies, and Worksheets.

- (a) Draft copies and master copies containing Top Secret information shall be authenticated as follows:
  - 1 If retained after the document is prepared in final form;
  - 2 When transported outside the originating office or similar originating unit; or
  - 3 In any case, not later than 60 days after the date of origination when longer retention is necessary.
- (b) Worksheets containing Top Secret information shall be authenticated, as follows:
  - 1 When transported outside security area protection; and
  - 2 Not later than 60 days after the date of origination if longer retention is necessary.
- (c) Unauthenticated Top Secret drafts, master copies, and worksheets do not need to be reported to the central Top Secret control station or Headquarters, nor do they need to be inventoried.

h. Top Secret Transmittal. A letter of transmittal for Top Secret documents need not be authenticated provided the letter does not contain Top Secret information. However, the letter should be prepared with the following precautions:

- (1) Clearly marked wording (preferably in red ink in letters not smaller than 1/4 inch high) "TOP SECRET" at the top and bottom of each page;

(2) The extra markings, including classification category and the downgrading-declassification marking required by its contents; and

(3) Transmittal with and not as part of the documents, as follows:

"When separated from enclosures, handle this document as

---

(Insert proper classification)."

c. Marking.

(1) Documents, regardless of type, shall be marked with the Top Secret classification at the time of preparation.

(2) Classification category and other additional markings, to show type of information, and the declassification-downgrading category shall be applied.

d. Documentation. In addition to the required authenticating document number (see paragraph 3a(3)(a)) each Top Secret document shall be documented, as follows:

(1) Top Secret documents shall be documented at the time of preparation.

(2) Each Top Secret document other than a master copy, draft, or worksheet, shall be documented in the manner prescribed for Secret documents (see Page III-21, paragraph 6).

(3) Master copies, drafts, and worksheets shall be documented, with the exception that the series will be modified, as follows:

(a) Series designation "M" shall be used for the master copy of a Top Secret document.

(b) Series designations beginning with the letter "N" in sequence to the end of the alphabet shall be used for consecutive runs of drafts or worksheets.

(4) Each Top Secret volume or microfilm reel shall be treated as a new Top Secret document and assigned a new Top Secret document number.

- e. Designation of Date of Destruction. When it is possible to determine on authentication or reproduction that a Top Secret document may be destroyed at a particular time, the Top Secret Classifier shall note this fact on all copies except record copies, as follows:

"DESTROY THIS COPY ON OR BEFORE 12-31-89"  
(Date)

f. Record Copies.

- (1) The Top Secret classifier shall arrange for a record copy of each Top Secret document that he or she authenticates to be retained by a Top Secret control officer under his or her jurisdiction.
- (2) Record copies shall be used to determine whether reproduction and further distribution can be authorized and for periodic review to determine current classification.
- (3) When only a single copy is prepared or when all other copies have been destroyed, consideration can be given to destroying the record copy consistent with the records disposition schedule.

g. Compilation.

- (1) Authenticated Top Secret documents (document number assigned) shall not be consolidated. When Top Secret documents must be included or transmitted with other classified information, the Top Secret documents shall be listed as attachments or enclosures and shall retain their original document control number(s).
- (2) Reproduced portions of Top Secret documents, extracted Top Secret information from a source document, recurring reports, and other documents prepared at periodic or intermittent intervals can be consolidated if they have not been authenticated. Each compilation shall be a document permanently fastened together and shall be marked and documented like other Top Secret documents.

h. Top Secret Cover Sheets.

- (1) Top Secret Cover Sheet. SF-703, "Top Secret Cover Sheet," (see Attachment XI-3), shall be placed on the face of each copy of a

Top Secret document immediately after preparation and shall remain on the document at all times while held by the Department or its contractors or subcontractors.

- (2) Top Secret Access Sheet. DOE F 5635.4, "Top Secret Access Sheet" (see Attachment XI-4) shall be placed immediately following the SF 703 Top Secret Cover Sheet on the face of the document and the words "COVER" in the title of DOE F 5635.4 shall be replaced with the word "ACCESS." This form shall remain on the document at all times while held by DOE or its contractors, or subcontractors.
  - (3) Documents Containing Restricted Data. A Restricted Data cover sheet, DOE F 5635.12 (see Attachment XI-5), shall be affixed to the top of and over the face of the standard form cover sheet and shall remain attached until the document is destroyed. Care shall be exercised when affixing the DOE F 5635.12 on the face of the standard form cover sheet to ensure that the classification level of the document is not obscured. At the time of destruction, DOE F 5635.12 is removed and, depending on its condition, reused.
  - (4) Tapes and Diskettes. Cover sheets and access sheets are required for computer and word processing tapes, diskettes, and cassettes.
  - (5) Signature and Other Data Required. Each person, including secretarial and clerical personnel, who reads all or any part of a Top Secret document shall sign the Top Secret Access Sheet and provide other data as required. Each person, regardless of the number of times he or she reads any copy of the document, is required to sign the access sheet on that particular copy only once.
  - (6) Removal. When a Top Secret document is to be transmitted to another Government agency or to its contractors or subcontractors, a new Top Secret Access Sheet showing the document's identification number shall be affixed to the document prior to transmittal; the old access sheet will be removed and retained with the record copy.
- i. Punch Cards, Magnetic Tapes and Discs, and Printouts. Each Top Secret deck, tape, disc, and printout shall be assigned an identification number. The authenticating symbol shall be that of the office requesting the automatic data processing.

j. Records of Combinations (see page VII-1, paragraph 1b).

- (1) Combinations to security repositories approved for storage of Top Secret documents shall be changed at least semiannually.
- (2) Records of combinations to DOE-approved repositories of Top Secret documents shall be marked, protected, and handled as Top Secret, but shall not be authenticated.

4. TOP SECRET CONTROL OFFICERS.

- a. Designation of Top Secret Control Officers. One Top Secret control officer and not more than three alternates shall be designated for each of the following organizations that receive, store, prepare, or transmit Top Secret documents:
  - (1) Headquarters divisions and offices; and
  - (2) Field organizations, area offices, and contractor organizations. If volume warrants, additional Top Secret control officers and alternate Top Secret control officers may be designated upon approval of DP-34 for different organizational units of a field organization, area office, or contractor.
- b. Responsibilities of Top Secret Control Officers. The designated Top Secret Control officer shall perform custodial duties with ultimate responsibility for safeguarding and disposing of Top Secret documents in accordance with applicable directives.
- c. Duties of Top Secret Control Officers.
  - (1) Receipt of Top Secret documents.
  - (2) Approved central storage of Top Secret documents and return of the documents to storage at the end of each working day.
  - (3) Transfer of possession of Top Secret documents within their areas of jurisdiction or to other Top Secret control officers. This includes the necessary preparation of the documents for transfer.
  - (4) Maintenance of a list of persons authorized access to Top Secret information and assurance that Top Secret documents are issued accordingly.



- (5) Semiannual 100% inventory of Top Secret documents.
  - (6) Accounting for Top Secret documents within their areas of jurisdiction by maintaining a record showing those authenticated, received, dispatched, downgraded, declassified, or destroyed. This record shall show all individuals who possess Top Secret documents at any time or who have the disposed made of a Top Secret document.
  - (7) Notification to the Director of Safeguards and Security of authentication, reproduction, downgrading, declassification, destruction, or inventory.
  - (8) Liaison with the security office in all matters relating to the accountability and safeguarding of Top Secret documents.
5. RECORDS. Each Top Secret control officer shall maintain the following records of Top Secret documents in his or her jurisdiction. When the volume of such documents is large, some form of visible index should be employed.
- a. On Authentication or Reproduction of Documents, the Top Secret control officer shall record the following:
    - (1) Description of each Top Secret document (subject or title and originator). Care should be exercised in describing the document to avoid including classified information in the description, if feasible;
    - (2) Document numbers of all copies (authenticating symbol, number of document, and series);
    - (3) Date of each document;
    - (4) Number of copies prepared or reproduced, initial disposition of each copy, and date thereof;
    - (5) Authority for the reproduction where reproductions are made by a person other than the authenticating official;
    - (6) Number of pages included in each document;
    - (7) Date prescribed for destruction of copies, if any; and
    - (8) Event or date on which downgrading or declassification is to be effected, if applicable.

b. On Receipt of Documents, the Top Secret control officer shall record the following:

- (1) Document number and description of each document;
- (2) Date of each document;
- (3) Date each document was received;
- (4) Name of sender;
- (5) Name of originator (in the case of outside-agency documents);
- (6) The name, if any, of classifying authority other than the originator, indicated on an outside-agency document; and
- (7) Number of the accompanying document receipt.

c. On Transmission of Documents Outside the Jurisdiction of the Top Secret Control Officer, the Top Secret control officer shall record the following:

- (1) Document number and description of each document;
- (2) Date of each document;
- (3) Date of transmission;
- (4) Name of the addressee; and
- (5) Number of the accompanying document receipt.

d. On Downgrading, Declassification, or Destruction, the Top Secret control officer shall maintain a record showing the action and the authority for such action.

6. STORAGE. The Top Secret control officer is required to store Top Secret documents under his or her jurisdiction in security containers that have been approved by the responsible DOE security office (see DOE 5632.4, Page V-3, Paragraph 2c(1)).

- a. Central Storage. Action shall be taken to ensure return of documents to central storage at the end of each working day.
- b. Use of Special Folders. Each Top Secret document, where practicable, shall be placed in separate folder marked "TOP SECRET" at the top and bottom of the front and back.

- c. Separate Repositories or Drawers. Top Secret documents shall be stored in separate repositories or separate drawers of repositories to the fullest extent feasible. These repositories shall be locked at all times except when it is necessary to remove or replace documents.

7. INVENTORY.

- a. Dates of Inventory. Each Top Secret control officer shall conduct a semiannual inventory on 4-30 and 10-31 of all Top Secret documents for which he or she is responsible, including outside-agency Top Secret documents.
- b. List of Top Secret Documents. The Director of Safeguards and Security shall furnish each Top Secret control officer two copies of an automatic data processing printout list of Top Secret documents. The printout list will contain the document number of each document (listed in numerical sequence) charged to the Top Secret control officer.
- c. Conduct of Inventory.
  - (1) The Top Secret control officer shall make or ensure that a physical check has been made of each Top Secret document for which he or she is responsible and that the list accurately reflects the documents held.
  - (2) Changes in the holding shall be recorded on the list.
  - (3) Omissions on the list shall be noted.
  - (4) After inventory has confirmed document holdings as of 4-30 or 10-31, the Top Secret control officer custodian shall insert the following statement at the end of the printout list:

"I have physically checked each Top Secret document in my custody, and the list with the changes indicated accurately represents the holdings as of 4-30 or 10-31 (whatever date may be involved)."
  - (5) If no changes are required, the control officer omits the words "with the changes indicated." One copy of the list bearing this certification shall be signed, dated, and returned to the central Top Secret control station no later than the 15th day of June or December, or the date specified in the letter forwarding the printout. The duplicate shall be retained for the Top Secret control officer's file.

(6) Immediate action shall be taken to resolve any discrepancy of omission between the documents held and the documents listed in the printout. The central Top Secret control station is available in this regard.

d. Spot Check of Inventory. Heads of Field Elements, or the Director of Safeguards and Security for Headquarters, shall ensure that a review of the procedures followed during each inventory and a spot check of each inventory is conducted.

8. UNACCOUNTED-FOR, COMPROMISED, OR POSSIBLY COMPROMISED TOP SECRET DOCUMENTS.

- a. Notification to the Director of Safeguards and Security. Headquarters organizations shall immediately notify, either verbally or in writing, the Director of Safeguards and Security (if verbal, notification shall be confirmed immediately in writing) and DOE field organizations or DOE contractors shall send a message to the Director of Safeguards and Security through appropriate channels when a Top Secret document cannot be located or when one is compromised or possibly compromised (see page VIII-3, paragraph 1i).
- b. Notification to Outside Agencies. When an outside agency Top Secret document is unaccounted for, compromised, or possibly compromised, DP-34 shall furnish a report, by message, to the originating agency or the responsible Head of Field Organization shall furnish a report, by message, to the originating agency with a copy to the Director of Safeguards and Security.

9. REVIEW OF NEED FOR RETENTION AND CURRENT CLASSIFICATION.

- a. Annual Review for Retention or Destruction. Top Secret control officers shall have the Top Secret classifier annually review all copies of Top Secret documents under their jurisdiction to ensure the necessity for retention. If any copies are no longer required, they shall be returned to the originator; nonrecord material may be destroyed.
- b. Annual Review for Current Classification. Top Secret classifiers shall review annually Top Secret documents authenticated under their symbols to determine the current classification and, if downgradable or declassifiable, take action to effect the change.

10. REPRODUCTION.

a. Authority to Reproduce.

- (1) Written permission to reproduce and distribute a Top Secret document originated by DOE or DOE contractors shall be obtained from the Top Secret classifier whose symbol appears on the document or from his or her successor, the person who acts in his or her absence, or a higher authority. The above restrictions shall not restrict the reproduction of documents to facilitate review for declassification. However, after such review, reproduced documents that remain classified must be destroyed in accordance with page XI-16, paragraph 12.
- (2) Top Secret documents may be reproduced only under the personal direction of the local Top Secret control officer or his or her alternate and in the presence of a witness.
- (3) Headquarters Elements possess authority to reproduce documents originated by field organizations when the documents to be reproduced concern the program over which the Headquarters Elements have jurisdiction or when the documents are to be forwarded to the Office of the Secretary (S-1) through the Office of the Executive Secretariat (MA-29) submitted as a single paper or as a compilation for consideration by the Secretary.

b. Emergency Reproduction. When immediate reproduction is necessary, verbal approval to reproduce the document may be secured, but the individual reproducing the copy shall immediately furnish a written confirmation of the reproduction to the author and/or originating organization.

c. Designation of Date of Destruction.

- (1) When possible, the date of destruction shall be designated by the person who authorized the reproduction, as follows.

"DESTROY THIS COPY ON OR BEFORE 12-31-89"  
(date)

- (2) Although the time set for destruction may vary, 60 to 90 days ordinarily would be appropriate.

d. Authentication.

- (1) The authentication stamp shall be placed on each copy of a DOE or contractor-originated Top Secret document reproduced. If reproduction is made by a person other than the Top Secret classifier, the authentication shall state the following:

"AUTHENTICATED \_\_\_\_\_ (Date)  
U.S. DEPARTMENT OF ENERGY  
BY: Reproduction authorized by  
John Doe/John Smith (Signature)  
Director of Military Application Headquarters  
DOCUMENT NO. LXXXI-18-3B"

- (2) In the example above, John Doe is the official who granted authority for reproduction and John Smith is the person making the reproduction.
- (3) The proper series designation may be obtained from the Top Secret classifier or from the central Top Secret control station.

- e. Reproduction by Outside Agencies. Where consent to reproduce Top Secret documents is granted to outside agencies, notification of this fact, the agency and the individuals involved, number of copies, and intended distribution shall be forwarded to the central Top Secret control station by the person granting authority.

11. TRANSMISSION.

- a. Receipts. A receipt shall be used in any transfer of Top Secret documents as follows:

- (1) DOE F 5650.1, "Receipt for Top Secret Documents," (see Attachment XI-6) shall be used by the Top Secret control officer whenever a Top Secret document is transferred outside of his or her jurisdiction. The receipt for the document shall be placed in the inner envelope.
- (2) DOE F 5635.3, "Classified Document Receipt," (see Attachment IV-2) or an approved receipt similar in content, shall be used by the Top Secret control officer when Top Secret documents are transferred within his or her jurisdiction. The receipt shall be signed by the person for whose official use the document is intended or his or her authorized recipient.

- (3) DOE F 1540.2, "Courier Receipt" (see Attachment IV-4), shall be used by the Top Secret control officer when a document is transmitted by a courier. Necessary records to account for the receipts shall be maintained.
- (4) When a DOE- or DOE contractor-originated Top Secret document is returned by an outside agency, a copy of the outside-agency document receipt shall be submitted by the Top Secret control officer to the central Top Secret control station.

b. Envelopes or Wrappers.

- (1) Within a Security Area. Top Secret documents transported within a security area by authorized personnel shall be enclosed in a folder or within two opaque envelopes or wrappers.
- (2) Between Security Areas. Top Secret documents transported between security areas by couriers shall be enclosed within two opaque envelopes or wrappers that are marked and addressed to the intended recipient, ATTN: Top Secret Control Officer.
- (3) When opaque envelopes are temporarily not available, appropriate measures shall be taken to ensure that (a) the contents of any document transmitted cannot be seen through the inner envelope and (b) the security markings on the inner envelope cannot be seen through the outer envelope.
- (4) Top Secret control officers who prepare Top Secret documents for transmittal shall place the following on the outer envelope:
  - (a) The number of the DOE F 5650.1A or DOE F 5650.1B enclosed in the envelope; and
  - (b) A deadline delivery date for the transmittal, as determined by the transmitter.

c. Approved Methods of Transmission.

- (1) Within a Security Area. By courier, a custodian, a Top Secret control officer, or an alternate Top Secret control officer, subject to procedures issued by the Heads of the cognizant Field Element or DP-34.
- (2) Outside Security Areas. By courier.

12. DESTRUCTION.

- a. Indication of Date of Destruction. If a Top Secret document bears the notation, "DESTROY THIS COPY ON OR BEFORE 12-31-89," destruction <sup>Date</sup> at that time is mandatory, unless an extension is obtained in writing from the Top Secret Classifier, his or her alternate, successor, or higher authority.
- b. Who Destroys. The Top Secret control officer or alternate shall destroy the document in the presence of a witness cleared for the same Top Secret and need-to-know level and/or approved by the Head of the cognizant Field Element or DP-34.
- c. Certification of Destruction.
  - (1) The Top Secret control officer shall prepare the DOE F 5630.12 Top Secret Transaction Notice, (see Attachment XI-7). The control officer and the person who witnesses the destruction shall sign DOE F 5630.12 to confirm the accuracy of the information contained thereon and the destruction of the documents.
  - (2) The Top Secret control officer, verified by the witness, shall determine whether the documents listed in the Top Secret transaction notice as destroyed are identical to the documents destroyed.
  - (3) The fact that the Top Secret document was intact that all indicated pages actually destroyed shall be verified before DOE F 5630.12 is signed.
- d. Method of Destruction. Top Secret documents shall be destroyed by shredding and burning (pulverizing the residue by macerating or pulping the remains).
- e. Destruction by Other Agencies. A copy of the Top Secret destruction certificate should be submitted by personnel of other agencies to the central Top Secret control station on the destruction of any Top Secret documents originated by personnel of DOE or contractors. Whether any such document has been destroyed also shall be included in the semiannual inventory submitted to the central Top Secret control station.



- f. Replacement Pages. The method of destroying pages of a Top Secret document that have been replaced shall be as specified above. A record of destruction shall be maintained by the office requesting the destruction. However, DOE F 5630.12 shall not be used in this connection.

13. NOTIFICATION, AUTHENTICATION, RECEIPT FROM OUTSIDE AGENCIES, AND CHANGE IN STATUS.

a. Notification by Top Secret Control Officers.

- (1) Top Secret control officers shall notify the central Top Secret control station when Top Secret documents are, as follows:
- (a) Authenticated;
  - (b) Received from an outside agency;
  - (c) Reproduced;
  - (d) Downgraded or declassified;
  - (e) Destroyed;
  - (f) Transferred to another custodian; or
  - (g) Received from another custodian.
- (2) Top Secret control officers shall request the following information from the authenticating official of another office when personnel in the Top Secret control officer's jurisdiction have reproduced a Top Secret document bearing the symbol of the authenticating official:
- (a) Number of copies created by reproduction; and
  - (b) Distribution of the copies.

b. Top Secret Authentication Notices.

- (1) DOE F 5630.11, "Top Secret Authentication Notice" (see Attachment XI-1), shall be used for notification of the authentication, reproduction of Top Secret documents, or receipts of Top Secret documents from outside agencies.

- (2) To assist in locating copies of outside-agency documents for downgrading or declassification, the description on DOE F 5630.11 should include the document number used by the outside agency. As an example, this item might read: "Draft TN Wpn Design Guidance DNA-73-2605."

c. Top Secret Transaction Notices.

DOE F 5630.12, "Top Secret Transaction Notice" (see Attachment XI-7), shall be used for notification of downgrading, declassification, or destruction of Top Secret documents.

- d. Number and Distribution of Copies. An original and two copies of DOE F 5630.11 and DOE F 5630.12 shall be prepared (except in the case of reproduction, when an additional copy of DOE F 5630.11 shall be prepared) and distributed as follows:

- (1) Original and one copy to the central Top Secret control station;
- (2) One copy retained by the Top Secret control officer in the organization in which the action is taken; and
- (3) One copy forwarded to the authenticating official in instances of reproduction of Top Secret documents.

- e. Completion of Forms. DOE F 5630.11 and DOE F 5630.12 shall be completed with all applicable information in accordance with the instructions appearing on these forms. The person completing DOE F 5630.12 shall execute: (1) the certification of destruction; (2) the certification of action on downgrading or declassification; or (3) certification of the consolidation, which certifications are provided for on the form. The witness to the destruction also shall sign the form in the space provided.

- f. Downgrading or Declassification. When a Top Secret document is downgraded or declassified, all copies in the same DOE or contractor facility or in the same division or organization if at Headquarters shall be similarly marked and notice of this action reported on DOE F 5630.12 to the central Top Secret control station.

14. OUTSIDE AGENCY TOP SECRET DOCUMENTS.

- a. Cover Sheets. An SF-703, "Top Secret Cover Sheet," and a DOE F 5635.4, "Top Secret Access Sheet," shall be affixed to the document, as prescribed in page XI-6, paragraph 3(h), upon receipt.

b. Documentation.

- (1) If Top Secret documents received from outside agencies are not documented, appropriate documentation shall be placed in the upper right-hand corner on receipt. An example of such documentation would be:

(Unique) Document number \_\_\_\_\_

This document consists of 5 pages.

No. 1 of 5 Copies, Series A.

- (2) Subsequent sets prepared shall be series B, C, and D.

c. Assignment of Document Numbers. A document number shall be placed on each document immediately on receipt. The document number consists of the letters "OA" signifying "Outside Agency," followed by the symbol of Top Secret Classifier of the recipient's office, the number following that of the last document numbered under that symbol, the copy number, and series designation, as in the following example: OA-XX-18-1A.

- (1) OA indicates that the document on which the authenticating symbol appears was originated by an outside agency.
- (2) XX is the symbol of the Top Secret classifier in the office that received the document from the outside agency.
- (3) 18 indicates that this is the 18th document, either originated in DOE or by an outside agency, assigned a document number under this symbol.
- (4) 1A indicates that one copy of the document was received. If more than one copy was received, the second copy would be identified as 2A, the third as 3A.
- (5) If the documents received are drafts or worksheets, the series designation "N" and subsequent alphabetical marking shall be used in lieu of "A," "B," and "C".

d. Notice of Transaction.

- (1) At the time DOE or a contractor receives a Top Secret outside-agency document, immediate notification shall be forwarded to the central Top Secret control station. DOE F 5630.12 shall be used.

- (2) If a field organization or Headquarters organization receives several copies of the same Top Secret outside-agency document, where feasible, the same "OA" number (with the exception of the copy number) should be assigned to these copies.
  - (3) The action should be implemented in a manner that does not unreasonably delay submission of reports to the central Top Secret control station.
- e. Reproduction. Written consent of appropriate personnel in the originating agency or government is required to reproduce a Top Secret outside agency document. The office responsible for the reproduction shall forward to the central Top Secret control station the DOE F 5630.11, "Top Secret Authentication Notice," containing the information specified on each form. A copy of this notice shall be forwarded to the Top Secret classifier whose symbol appears on the document. The first set of copies of the document reproduced shall be series "B". The second set shall be series "C". Any other set produced shall bear a series designation with the next letter of the alphabet following that which appears on the last set of copies reproduced. The above restrictions shall not restrict the reproduction of documents to facilitate review for declassification. However, after such review, these reproduced documents that remain classified must be destroyed in accordance with page XI-16, paragraph 12.
- f. Documents Not Previously Reported. The Top Secret control officer shall notify the central Top Secret control station in writing on each outside-agency Top Secret document on which notice has not previously been furnished. The information shall be submitted on Form DOE F 5630.11 and shall include as many of the items set forth on the form as are known or can be ascertained, including an explanation of the circumstances.
- g. Records. Accountability of outside-agency Top Secret documents shall be maintained as prescribed on page XI-10, paragraph 6. The file or any identifying number appearing on the document at the time of receipt shall be included in the records.
- h. Destruction. Top Secret outside-agency documents shall be destroyed as set forth on page XI-16, paragraph 12. Notices of destruction need not be furnished to an outside agency unless requested.

- i. Return of Outside-Agency Documents. Each Top Secret control officer shall keep outside-agency Top Secret documents under review to ensure destruction or return to the originating agency as soon as there is no need for their retention. Prior to return of the document, the sender shall determine that the "OA" document number of the document on the document has been lined out. However, OA numbers shall be sent to the central Top Secret control station written on the receipt of the outside agency at the time the Top Secret document is transmitted.
  - j. Previously Received Documents. If an outside agency Top Secret document is transmitted to other than a DOE or contractor office and is again received by DOE or contractor office, a new document number preceded by the letters OA shall be assigned.
15. ACTION NECESSARY WHEN A TOP SECRET CLASSIFIER, TOP SECRET CONTROL OFFICER, OR OTHER CUSTODIAN TRANSFERS OR TERMINATES.
- a. Top Secret Classifier. When a Top Secret classifier transfers or terminates his or her duties in that capacity, the Head of the cognizant Departmental Element determines whether the authority to authenticate is still required. A request for the designation of a successor to the Top Secret classifier will be made to the Director of Classification, with a copy to DP-34. If required, the symbol used by the previous Top Secret Classifier shall then continue to be used or be reactivated and used by the successor. If the symbol is to remain inactive, the Head of the cognizant Departmental Element shall notify the central Top Secret control station.
  - b. Top Secret Control Officer or Custodian. At the time that it is known that a Top Secret control officer or custodian is going to transfer or terminate his or her duties in that capacity, the responsible Head of the Departmental Element shall designate someone to take over the control officer or the custodian's duties in connection with Top Secret documents. Notification of the change shall be forwarded to the central Top Secret control station so that records may be revised. All Top Secret documents that are charged to a transferring or terminating custodian and that are retained shall be transferred to his or her replacement by receipt of DOE F 5650.1A or DOE F 5650.1B, "Receipt for Top Secret Documents."
16. LIST OF ACTIVE DOE TOP SECRET CLASSIFIERS. A current list of active DOE Top Secret classifiers may be obtained from the Director of Classification when needed.

DOE F 5630.11  
(1-84)  
(Previously DP-719)U.S. DEPARTMENT OF ENERGY  
TOP SECRET AUTHENTICATION NOTICETO: Office of Safeguards and Security  
USDOE  
Washington, DC 20545FROM: Director of Safeguards and Security  
Oak Ridge Operations Office  
P. O. Box E  
Oak Ridge, TN 37830

INSTRUCTIONS  
1 List one document on each line completing columns 1 through 11  
2 Include in column 4 abbreviations of office and agency from which outside agency document is received  
3 In column 8a use "A" for DOE document, or "O" for outside agency document  
4 In column 8b use "E"  
5 Use DOE Form DP-720 with this form for consultations

1 Authenticating Symbol	2 Number Assigned	3 Series	4 Description (Must Be Unclassified)	5 Date of Document	6 Number of Copies	7 Number of Pages	8a Orig. Org.	8b Trans- action	9 Custodian Code	10 Date of Action	11 Authenticated, Reproduced or Received By
(1-4)	(12-16)	(17)	(20-64)	(65-70)	(71-73)	(74-77)	(78)	(79)	(21-27)	(73-78)	
XXX-1	201	A	Self Explanatory	07/07/84	3	7	A	E	0008765	07/08/84	
EXAMPLE											

Signature of Authorized Personnel

Security Analyst

Organizational Title

Date

07/08/84

TOP SECRET AUTHENTICATION NOTICE

TOP SECRET DOCUMENT AUTHENTICATION

<small>DOE F 1323.6 (12-84)</small> <b>United States Government</b>	<h1 style="margin: 0;">TOP SECRET</h1>	<b>Department of Energy</b>
<h2 style="margin: 0;">memorandum</h2>		
DATE: 10-07-83 REPLY TO ATTN OF: DP-351  SUBJECT: Oceanography Data	This document consists of <u>1</u> pages No. <u>1</u> of <u>2</u> Copies, Series <u>A</u>  AUTHENTICATED: January 2, 1980 U.S. DEPARTMENT OF ENERGY BY: <u>R.T. Estes</u> Chief, Policy Branch DOCUMENT NO: <u>XCI-18-1A</u>	Copy One of Series A
TO: Director of Safeguards and Security Oak Ridge Operations Office		
<div style="border: 1px solid black; padding: 2px; display: inline-block;">Authenticating Symbol Assigned to George C. Smith</div> <div style="border: 1px solid black; padding: 2px; display: inline-block; margin-left: 20px;">Eighteenth Document Authenticated by Smith</div>		
1. This example identifies the proper marking of a Top Secret Restricted Data document. 2. .... 3. ....		
<div style="margin: 0;"> R.T. Estes Chief, Policy Branch</div>		
<div style="border: 1px solid black; padding: 5px; display: inline-block;">CLASSIFICATION OF THIS DOCUMENT IS FOR EXAMPLE PURPOSES ONLY.</div>		
<div style="display: flex; justify-content: space-between;"><div style="width: 45%;"><p style="text-align: center; margin: 0;"><b>RESTRICTED DATA</b></p><p style="font-size: small; margin: 0;">This document contains Restricted Data as defined in the Atomic Energy Act of 1954. Unauthorized disclosure subject to Administrative and Criminal Sanctions.</p></div><div style="width: 50%; text-align: right;"><div style="display: flex; justify-content: space-between; margin-bottom: 5px;"><span style="font-size: small;">DERIVATIVE CLASSIFIER</span><span style="font-size: small;">SIGNER</span></div><div style="border-top: 1px solid black; width: 100%; margin-bottom: 5px;"></div><span style="font-size: x-small; display: block; text-align: center;">(Name and Title)</span></div></div>		
<h1 style="margin: 0;">TOP SECRET</h1>		

TOP SECRET COVER SHEET

**TOP SECRET**

THIS IS A COVER SHEET

FOR CLASSIFIED INFORMATION

ALL INDIVIDUALS HANDLING THIS INFORMATION ARE REQUIRED TO PROTECT IT FROM UNAUTHORIZED DISCLOSURE IN THE INTEREST OF THE NATIONAL SECURITY OF THE UNITED STATES.

HANDLING, STORAGE, REPRODUCTION AND DISPOSITION OF THE ATTACHED DOCUMENT WILL BE IN ACCORDANCE WITH APPLICABLE EXECUTIVE ORDER(S), STATUTE(S) AND AGENCY IMPLEMENTING REGULATIONS.

**EXAMPLE**

(This cover sheet is unclassified.)

**TOP SECRET**

703-101  
NSN 7540-01-213-7901

STANDARD FORM 703 (8-65)  
Prescribed by GSA/ISOO  
32 CFR 2003



# TOP SECRET ACCESS SHEET

[illegible]

RESTRICTED DATA COVER SHEET (PLACEMENT)

DOE F 5635.12  
(1-84)  
(Previously DP-H308A)

EXAMPLE

this document contains  
**RESTRICTED DATA**

(This cover sheet is unclassified.)

**TOP SECRET**

703-101  
NSN 7540-01-213-7901

STANDARD FORM 703 (8-85)  
Prescribed by GSA/ISOO  
32 CFR 2003

RECEIPT FOR TOP SECRET DOCUMENTS

DOE-I-5650.1 (8-79)		U.S. DEPARTMENT OF ENERGY		Serial Number <b>WAG 01653</b>	
RECEIPT FOR TOP SECRET DOCUMENTS				Date of Dispatch 06/02/80	
<b>DISTRIBUTION</b> 1. WHITE.—Sender forwards with document to addressee for signature. Addressee signs and returns to sender. 2. PINK.—Sender forwards with document and original to addressee. Addressee signs and forwards to Division of Security, OSS, U.S. Department of Energy, Washington, D.C., 20545. 3. GREEN.—Sender forwards to Division of Security, OSS, U.S. Department of Energy, Washington, D.C., 20545, at time of document transmittal. 4. YELLOW.—Sender retains in Suspense File until signed original is returned from addressee. <b>DO NOT DESTROY.</b> —If voided, send duplicate (pink) copy to Division of Security, OSS, U.S. Department of Energy, Washington, D.C., 20545, and retain original (white) copy in sender's file.					
TO (Addressee) Director of Safeguards and Security Oak Ridge Operations Office P.O. Box E Oak Ridge, TN 37380			FROM (Sender) M. J. Rivers Director of Security DP-007 Washington, D.C. 20545		
<b>DOCUMENTS DISPATCHED</b> CAUTION—Avoid identifying documents in any manner which might necessitate classification of this receipt.					
INDICATE SYMBOL, NUMBER, COPY AND SERIES			INDICATE SYMBOL, NUMBER, COPY AND SERIES		
XCI-18-1A					
<b>EXAMPLE</b>					
<b>CERTIFICATE</b> I have personally received from the sender the document(s) as identified above. I assume full responsibility for the safe handling, storage, and accountability of the above listed document(s) in accordance with existing regulations. <div style="display: flex; justify-content: space-between;"><div><u>06/02/80</u> (Date received)</div><div><u>M. Jones</u> <u>TSCD</u> <small>Signature of addressee or authorized representative (when an authorized representative signs for document(s), he shall insert the name of the addressee above his own).</small></div></div>					
PLEASE HANDLE PROMPTLY					

TOP SECRET TRANSACTION NOTICE

DOE F 5630.12 (1-84) (Previously DP-720)		U.S. DEPARTMENT OF ENERGY TOP SECRET TRANSACTION NOTICE								
TO: Division of Security DP-343 Washington, D.C. 20545				FROM: Director of Safeguards and Security Oak Ridge Operations Office, P.O. Box E Oak Ridge, TN 37830						
I N S T R U C T I O N S	<p>Use a separate form for each type of transaction.</p> <p><b>Consolidation</b>—Submit with DOE Form DP-719. Fill in all columns except 6, and items 11 and 12 for each consolidated Top Secret document. Show new document number in column 8.</p> <p><b>Downgrading or Declassification</b>—Fill in all columns except 6. Enter new classification in Column 8 i.e., "SEC," "CONF," or "UNCLASS." State whether "RD," "FRD" or "NSI." If NSI, include: (1) "SGDS" (subject to the General Declassification Schedule of E.O. 11652); (2) "XGDS" (exempt from the Schedule); the applicable subsection, e.g., "S(B) (3)," and date for downgrading or declassification, if any; or (3) "ADGD" (subject to automatic downgrading) or "ADCL" (subject to automatic declassification), and the date for automatic action. If exempt, complete item 11. Complete item 12 where appropriate. When received from Central Document Control Section, certify and return.</p> <p><b>Destruction</b>—Fill in all columns except 8, and items 11, and 12.</p> <p>Enter in column 10 appropriate code as follows: H For consolidations J For each document destroyed K For downgrading L For declassification</p>									
	1 AUTHENTICATING SYMBOL (1-8)	2 NUMBER ASSIGNED (12-16)	3 SERIES (17)	4 COPY NO. (18-20)	5 DATE OF DOCUMENT --	6 NO. OF PAGES --	7 DATE OF ACTION (21-25)	8 CLASSIFICATION, OR NUMBER OF CONSOLIDATION (27-46)	9 CUSTODIAN CODE (47-53)	10 CODE (79)
	XXX-1	201	A	2	07/07/84	7	08/02/84		XCI	J
	<b>EXAMPLE</b>									
	11. Exemption from the Schedule is Granted by (Insert name and title — sign or type as appropriate)									
	12a. Downgrading or Declassification Authority is granted by/has been received from (Type, Authenticating or Declassifying Official's name, title, and date)									
	12b. SIGNATURE (of Headquarters Security Branch staff member, Authenticating Official, or Declassifying Official and his organizational title)									
	<p>I certify that the Document(s) above were in accordance with DOE regulations.</p> <p><input type="checkbox"/> CONSOLIDATED    <input checked="" type="checkbox"/> DESTROYED    <input type="checkbox"/> DOWNGRADED or DECLASSIFIED</p> <p><i>J. Smith</i> J. Smith Signature of Authorized Personnel</p> <p><i>H. R. Barr, Chief Files Section</i> H. R. Barr, Chief Files Section Signature and Organizational Title of Witness to Destruction</p> <p>Chief, Admin. Branch (TSCO) <i>08/02/84</i> Organizational Title Date</p>									

## CHAPTER XII

### SCIENTIFIC AND TECHNICAL REPORTS

1. PURPOSE. This chapter sets forth the procedures for the safeguarding and accountability of classified scientific and technical information products.
2. BACKGROUND. The Office of Scientific and Technical Information (MA-28) provides a centralized scientific and technical information management activity for DOE, including announcement, distribution, and archiving of classified scientific and technical information products. These products are handled in accordance with DOE policy and are announced through an on-line retrieval system and announcement publications and are distributed according to guidance provided by the cognizant Departmental Elements.
3. SUBMISSION OF SCIENTIFIC AND TECHNICAL REPORTS TO THE CENTRAL MANAGEMENT ACTIVITY. Departmental Elements and contractors generating classified scientific and technical reports shall submit copies of their reports to MA-28 for integration into the centralized program. Reports transmitted to MA-28 must contain lists of all recipients because the copies are used for archival purposes.
4. PREPARATION. Scientific and technical reports on classified research shall be marked in the same manner as other classified documents.
5. CONTROL OF ACCESS.
  - a. Access to classified scientific and technical reports is based on the need of individuals for the information in the performance of their official duties as determined by Heads of Departmental Elements.
  - b. Transfer-accountability or accountability stations determine access on the basis of categories of scientific and technical information, as set forth in the current edition of M-3679, "Standards Distribution for Classified Reports," maintained by MA-28. A list of approved transfer and accountability addresses is maintained by MA-28 and published in M-3679.
6. DISSEMINATION. Departmental Elements generating classified scientific and technical reports may disseminate such reports to authorized recipients in accordance with this Order, or they may request MA-28 to disseminate the reports in their behalf. When copies of reports are

provided to the Office of Scientific and Technical Information for distribution, copies are sent to the requesting organizations' authorized recipients list and, when sufficient number of copies are provided, to other addresses as listed in specific categories as contained in M-3679.

- a. To DOE and DOE Contractor Employees. Classified scientific and technical reports shall be transmitted through transfer-accountability stations.
  - b. To Other Government Agencies. Scientific and technical reports containing Restricted Data may be furnished to employees of other Government agencies only when provided with written certification by or in the name of authorized officials of the agency requesting the information. Each certification shall include a brief statement of the scope of work for which the reports are requested and shall include verification of appropriate security clearance for each person; a statement that each person needs and is authorized access to the reports in the performance of official duties; and a statement that the common defense and security will not be endangered by access to the information. Classified scientific and technical reports that do not contain Restricted Data may be furnished to employees of other Government agencies on the same basis as other classified documents.
7. RECORDS. Each transfer-accountability station shall maintain records of classified scientific and technical reports the same as those required for other classified documents, as stated in this Order.
  8. REDUCTION IN NUMBER OF REPORTS. Transfer-accountability stations shall take such measures as are appropriate to obtain a continuous reduction in the holdings of classified scientific and technical reports so that the holdings are restricted to reports currently required.
  9. REPRODUCTION. Classified scientific and technical reports shall be reproduced in accordance with the procedures set forth in this Order, except that the Office of Scientific and Technical Information is authorized to reproduce reports without prior notice to the originator. Copies of Secret reports reproduced by the Office of Scientific and Technical Information shall contain the series designation "TA," "TB," "TC," or other appropriate alphabetical series designation, depending on the number of sets reproduced.

10. TERMINATIONS OF CONTRACTS. Every terminating contractor shall be required to do the following:
  - a. In advance of termination of the contract, notify MA-28 and transfer-accountability stations from which classified scientific and technical reports have been received that the contract is being terminated.
  - b. Inventory all Secret scientific and technical reports and submit results of this inventory to the Heads of appropriate Departmental Elements with a copy to MA-28. MA-28 shall use this listing to determine if the inventoried reports are in its holdings.
  - c. Dispose of all classified reports not required to be retained, in accordance with Chapter VI.
11. MICROFICHE OF CLASSIFIED REPORTS. The Office of Scientific and Technical Information produces microfiche of classified scientific and technical reports for hardcopy blowback for authorized requesters and for archival storage. Copies of microfiche of secret reports produced by MA-28 shall contain the series designation YA, YB, or other appropriate alphabetical designation, depending on the number of sets of microfiche made.

CHAPTER XIIITRANSFER OF CLASSIFIED NONMILITARY INFORMATION  
TO FOREIGN GOVERNMENTS1. AUTHORITY.

- a. Classified Nonmilitary Information. The Presidential directive; "Basic Policy Governing the Release of Classified Defense Information to Foreign Governments," of 9-23-58, which relates to National Security Information, sets forth policy governing the following:
  - (1) Transfer of classified nonmilitary information to foreign governments; and
  - (2) Access to classified nonmilitary information by individual representatives of foreign governments.
- b. Classified Military Information. Basic policy governing the release and disclosure of classified military information is set forth in "National Policy and Procedures for the Disclosure of Classified Military Information to Foreign Governments and International Organizations," of 12-17-69, and supplemented by "Disclosure of Classified Military Information to Foreign Governments and International Organizations," of 7-20-71.
- c. Restricted Data and Formerly Restricted Data. The provisions of this chapter do not apply to the transmission of Restricted Data or Formerly Restricted Data to foreign governments. Restricted Data and Formerly Restricted Data are furnished to and received from foreign government only in accordance with agreements for cooperation negotiated in accordance with the provisions of Sections 123 and 144 of the Atomic Energy Act of 1954, as amended.
- d. Prohibitions and Disclosure. The disclosure of classified information to foreign governments is not permitted where such disclosure is prohibited by Presidential orders or directives; Federal legislation, including the Atomic Energy Act of 1954, as amended; and the Energy Reorganization Act of 1974, as amended, by any international agreement to which the United States is a party, or by U.S. policy.



## 2. REQUIREMENTS.

- a. Criteria for Release of Classified Nonmilitary Information. Before release of classified nonmilitary information to any foreign government, a responsible official of the releasing department or agency determines that furnishing classified information will result in a net advantage to the national security interest of the United States. In making such a determination, the following conditions must be met:
- (1) Disclosure is consistent with the foreign policy of the United States toward the recipient government.
  - (2) Disclosure is consistent with the policies of the U.S. Government with regard to the Atomic Energy Act of 1954, as amended and the Energy Reorganization Act of 1974 or with regard to information for which special procedures for release have been or may hereafter be established by competent authority having statutory jurisdiction over the subject matter.
  - (3) Disclosure is consistent with the national security interests of the United States.
  - (4) Disclosure is limited to information necessary to the purpose for which disclosure is made.
- b. Additional Requirements. The recipient government must have agreed, either generally or in the particular case, to the following:
- (1) The recipient government will not release the information to a third party without the approval of the releasing party.
  - (2) The recipient government will undertake to afford the information substantially the same degree of protection afforded the information by the releasing party.
  - (3) The recipient government will not use the information for a purpose other than for which the information it was given.
  - (4) In the event that the releasing party indicates that any private rights, such as patents, copyrights, or trade secrets, are involved in the information, the receiving party will acknowledge such rights.

3. INTERNAL PROCEDURES.

- a. Initiation and Coordination. The Director of International Security Affairs (DP-33) will initiate and coordinate the necessary procedures to effect the proposed classified information transfers.
- b. Determination of Net Advantage to the United States. DP-33, in coordination with the General Counsel (GC-1) and DP-34, and the responsible program office, shall determine, as required by paragraph 2 "that the furnishing of classified information will result in a net benefit to the national security interest of the United States." DP-33 shall consult with the Department of State and other agencies and departments, as appropriate, in making this determination.
- c. Classified Information Exchange Agreement.
  - (1) Necessity for Existence of Government-to-Government Agreements. Prior to developing of an exchange agreement, DP-34 shall confirm the existence of an applicable government-to-government agreement between the United States and the foreign country involved.
  - (2) Development of DOE Agreement. DP-34, with the assistance of DP-33, GC-1, and IE (if necessary) shall develop a classified information exchange agreement for each foreign government agency prior to (a) initial transfer of classified documents or material or (b) initial access to material in written or oral form.
  - (3) Contents. This information exchange agreement shall specify the necessary requirements to ensure the security of the transferred documents, material, or information. It shall be compatible with the terms and conditions of existing government-to-government agreements applicable to the transfer of classified information.
  - (4) Execution of Agreement. DP-1 shall execute the exchange agreement on a finding that the recipient government will provide adequate protection of the information to be furnished.
  - (5) Waiver of Positions. DP-1 shall approve any waiver of the required understandings identified in paragraphs 2b(1) through (3).

d. Transfer of Classified Information.

- (1) Security Assurance or Security Checks. A security assurance shall be required or a security check made regarding the original recipients of classified information. DP-33 will obtain the security assurance or background/biographical data and submit it to DP-34 and request that the appropriate security check be conducted. DP-1 is authorized to waive the requirement for a security assurance or security check regarding high-ranking foreign government civil or military representatives when deemed necessary.
- (2) Results of Security Checks. The existence of security assurances and results of any security checks shall be made a matter of record at DP-34. Any derogatory information derived from such security checks shall be made available on a proprietary basis by DP-34 only to DP-1, DP-33, the Central Intelligence Agency and, if the recipient checked is in or is coming to the United States, to the Federal Bureau of Investigation.
- (3) Review of Documents to be Transferred.
  - (a) Classified documents or material to be transmitted to foreign governments shall be forwarded to DP-34 for review and transmission. The review shall ensure that each original recipient:
    - 1 Possesses the prescribed security assurance;
    - 2 Has been the subject of a favorable security check; or
    - 3 Has received a waiver.
  - (b) DP-34 shall ensure that the information transmitted is within the scope of existing government-to-government agreements and that legal concurrence has been obtained from GC-1.
  - (c) If the transfer involves classified information or material produced by or received from another government agency, DP-34 shall obtain approval from such agency prior to transmission. For the transmission of foreign intelligence information, see paragraph 1e.

- (4) Preparation and Method of Transmission. The preparation, including classification markings and method of transmission of documents, shall be the same that is prescribed in this Order for the classification of the information involved. Normally, documents intended for foreign governments will be forwarded to the embassy of the receiving country located in the United States. Transmission of classified mail to foreign countries requires the prior approval of DP-34.
- (5) Accountability.
- (a) Accountability of the information being processed for release shall be maintained by each office proposing the release of classified nonmilitary information to foreign governments or concurring in the release and by the Director of Safeguards and Security. The record maintained shall include the following:
- 1 Identification of the exact information being released or being processed for release (for documents state date, title, name(s) of originator(s), and classification);
  - 2 Names and signatures of approving officials;
  - 3 Form in which information is released or is to be released (verbal, documentary, and material);
  - 4 Date of release or contemplated release;
  - 5 Identity of foreign government organization to which, and original individual recipient to whom, release is made or contemplated;
  - 6 Security assurance or security check for each individual recipient;
  - 7 Waivers exercised or requested, where applicable;
  - 8 Statement that the information is based on data originated outside DOE, wherever applicable, and identity of originating organization; and
  - 9 Citation of authority for release by an outside source, if applicable.

- (b) Information on oral disclosures, made or contemplated, shall be contained in memorandums prepared by the office desiring to make the disclosures and memorandums furnished prior and subsequent to the disclosures to DP-34, DP-33, and GC-1.

## CHAPTER XIV

### COMPLETION OF WORK AND TERMINATION OF CONTRACTS

1. BACKGROUND. This chapter outlines action to be taken in connection with documents when work under contracts, is completed or terminated.
2. ACTION ON COMPLETION OF WORK. Upon completion of work under a contract (or termination of a contract), the office responsible for the administration of the technical requirements of a contract shall assure that:
  - a. Classified documents that are no longer required are returned, destroyed, or otherwise disposed of in accordance with security requirements.
  - b. A written report is obtained identifying the classified documents to be retained pending termination or after termination of the contract.
  - c. Their contractors and subcontractors, and other government agencies as appropriate, are advised that each contractor, subcontractor, or other party to the terminated agreement is no longer authorized to receive classified information pursuant to the expired agreement.
3. ACTION ON TERMINATION OF AGREEMENT. Upon completion of work under a contract (or termination of a contract), the office responsible for the administration of the technical requirements of a contract shall assure that:
  - a. Classified documents no longer required are returned, destroyed, or otherwise disposed of in accordance with security requirements, as specified by the contract administrator or other Department personnel.
  - b. Classified documents retained are reviewed for downgrading and declassification.
  - c. Departmental Elements, their contractors and subcontractors, and other Government agencies, as appropriate, are advised that the contractor, or other parties to the terminated agreement is no longer authorized to receive classified information pursuant to the expired agreement.
  - d. Classified documents that are retained are safeguarded in accordance with the terms of the contract and applicable DOE security Order.

4. DISPOSITION OF CLASSIFIED DOCUMENTS. Upon completion of work under a contract (or termination of a contract), the office responsible for the administration of the technical requirements of a contract shall assure that:
- a. Retention of Classified Documents. Classified documents may be retained if retention is provided for in the terms of the contract, subcontract, or other agreement or if their retention is necessary to meet obligations imposed by law. Documents also may be retained if written authorization is obtained from Heads of Field Organizations or from the Head of a Headquarters Element if a Headquarters contractor is involved. The responsible organizations shall ensure that the contractor carries out the following:
- (1) Submits a "Certification of Possession" (see Attachment XIV-1) to the security division in the field organization that awarded the contract or other appropriate DOE personnel.
  - (2) Submits certification that all other documents or material pertaining to work performed under the contract, subcontract, or other agreement have been disposed of in accordance with DOE security requirements. If destroyed, the contractor shall submit a copy of DOE F 5635.9, "Record of Destruction" (see Attachment X-1). If returned to authorized representatives the contractor shall submit a copy of the DOE F 5635.3, "Classified Document Receipt" (see Attachment IV-2).
- b. Nonpossession of Classified Document. When no classified documents or materials are retained by the contractor:
- (1) The contractor submits a "Certification of Nonpossession" (see Attachment XIV-2) to the security division in the field organization that awarded the contract or other appropriate DOE personnel.
  - (2) The contractor submits a copy of the DOE F 5635.9, "Record of Destruction" (see Attachment X-1) if the documents or material have been destroyed and/or a copy of the DOE F 5635.3, "Classified Document Receipt" (see Attachment IV-2) if the documents or material have been returned to authorized representatives.

5. UNACCOUNTED FOR DOCUMENTS.

- a. Any unaccounted-for documents at contract termination shall be listed on the Certificate of Non-possession, classified or non-classified as appropriate.
- b. When the last classified contract documents are destroyed, records relating to unaccounted-for documents shall be forwarded to the appropriate DOE office for retention.



CERTIFICATION OF POSSESSION

This is to certify that to the best of the knowledge and belief of the  
Western Electric Company that, with the exception

(name of contractor, subcontractor or other party)  
of the item listed below, Western Electric Company has returned to authorized  
representatives of the Department of Energy or has disposed of, in accordance  
with Department of Energy security requirements, all classified documents and  
material originated or received by the company in connection with work the  
company performed for the Department of Energy under

Contract Number# 1-JOC-56789, of 12-23-88.  
(Identify contract, subcontractor, or other agreement)

(Identify documents and material retained (type, date, classification  
level, category, copy number if any, number of copies, length of  
retention, and any other pertinent data.)

It is understood and agreed that:

- (1) The listed documents will retain their present classification until  
downgraded or declassified by the Department of Energy and will be  
safeguarded in accordance with Department of Energy security requirements;
- (2) Unauthorized disclosure of classified information is subject to criminal  
penalties, as provided for in the Atomic Energy Act of 1954, as amended,  
the Espionage Act, and other security directives, and;
- (3) Any unaccounted-for classified documents or material or exposure of the  
listed items to unauthorized persons shall immediately be reported to the  
Department of Energy or the Federal Bureau of Investigation in accordance  
with Department of Energy security requirements.

Signature James J. Jones, Western Electric Company  
For the (name of contractor, subcontractor,  
or other party to the agreement)

Title Executive Officer

Date 12-31-89

CERTIFICATE OF NONPOSSESSION  
OF CLASSIFIED DOCUMENT AND MATERIALS

This will certify that, to the best of my knowledge and belief, I have returned to authorized representatives of the Department of Energy or disposed of, in accordance with DOE security requirements, all classified documents and material that were formerly held by me and pertained to work performed for the Department of Energy.

Identify contract or agreement No.: 1-JOC-56789, of 12-23-88

\_\_\_\_\_  
(Signature) 12-23-89

James J. Jones  
Executive Officer  
Western Electric Company

CHAPTER XV  
COMPUTER RELATED DOCUMENTS

1. BACKGROUND

- a. When it is not operationally feasible or practical to establish the classification of computer-related documents (i.e., data processing input/output media including printouts) that contain primarily numerical text and which remain within a security area, the special safeguarding procedures outlined herein shall be applied.
- b. Classified clear-text computer-related documents shall be marked, handled, and safeguarded as other classified documents and are not covered by this chapter. Examples of clear-text computer-related documents are plain-language printouts and printouts and film containing primarily pictorial or annotated graphic representations and calculations, but whose identity is revealed by plain language column headings or explanatory notes.
- c. Control, marking, and transfer of documents marked "Protect as Restricted Data" or "PARD" shall be in accordance with policy established in DOE 5637.1.

2. COMPUTER-RELATED DOCUMENTS IN NUMERICAL TEXT. Documents falling within the scope of the above shall be conspicuously marked "PROTECT AS RESTRICTED DATA" on each page or sheet at the time of origination. Documents not having pages or sheets shall be marked Protect as Restricted Data. If such specially marked documents must be removed from the security area in which they originate for purposes other than destruction, they shall be first reviewed for classification, marked accordingly, and handled and safeguarded as are other classified documents.

3. REVIEW FOR CLASSIFICATION AND DESTRUCTION. Responsible DOE and contractor personnel shall ensure the maintenance of proper housekeeping measures, including classification review by an authorized classifier and destruction after 60 days as well as other measures designed to keep minimize accumulations of Protect as Restricted Data documents. A list shall be maintained of persons authorized to mark documents as Protect as Restricted Data.

4. STORAGE. Computer-related documents falling within the scope of these special controls shall be stored in repositories approved for Secret matter within a security area, however, when the volume is too large, "Protect as Restricted Data" printouts shall be stored in a manner that is at least as secure as one of the following:
  - a. According to a method authorized for Secret matter;
  - b. In a security container or filing cabinet equipped with a locking device; or
  - c. Within a security area where it is administratively controlled during work hours and maintained under locked conditions during nonwork hours in accordance with DOE 5632.4.
5. SURVEYS OF AUTOMATIC DATA PROCESSING CENTERS. Automatic data processing centers that have been authorized to operate in accordance with this procedure shall be surveyed at least annually to ensure the adequacy of the security provisions in effect. The inspector also shall report on the procedures in effect for the review and destruction of all documents marked "Protect As Restricted Data" and the method of their destruction. At such times, a determination also will be made on the need for continuing the special procedures.
6. IMPLEMENTATION OF THESE PROCEDURES. Heads of Field Elements shall ensure that laboratory directors and supervisory personnel of other facilities requiring implementation of these procedures; (1) obtain the manager's approval prior to implementing of formal procedures for safeguarding computer-related documents consistent with this chapter and (2) Minimize the number of documents to which these safeguards apply.

**U.S. Department of Energy**  
**Washington, D.C.**

**PAGE CHANGE**

DOE 5635.1A Chg 1

6-14-93

**SUBJECT: CONTROL OF CLASSIFIED DOCUMENTS AND INFORMATION**

1. **PURPOSE.** To transmit revised pages to DOE 5635.1A, CONTROL OF CLASSIFIED DOCUMENTS AND INFORMATION.

2. **EXPLANATION OF CHANGES.**

- a. Delete SF 189 requirements. The SF 189 was replaced by the SF 312 and is mandated by DOE 5631.1B.
- b. Delete security infractions. Requirements for security infractions are contained in DOE 5639.1.
- c. Incorporate a policy change mandated by the State Department for handling Limited Official Use information.
- d. Incorporate a policy change promulgated by memorandum, which modified accountability requirements.

3. **FILING INSTRUCTIONS.**

a. <u>Remove Page</u>	<u>Dated</u>	<u>Insert Page</u>	<u>Dated</u>
i and ii	2-12-88	i	2-12-88
		ii	6-14-93
v and vi	2-12-88	v	6-14-93
		vi	2-12-88
II-5 thru II-10	2-12-88	II-5	2-12-88
		II-6 (thru II-10)	6-14-93
II-15 thru II-20	2-12-88		
V-1 thru V-6	2-12-88	V-1 - V-4	6-14-93

- b. After filing the attached pages, this transmittal may be discarded.

**BY ORDER OF THE SECRETARY OF ENERGY:**



**LINDA G. SYE**  
Acting Assistant Secretary for  
Human Resources and Administration

**DISTRIBUTION:**  
All Departmental Elements

**INITIATED BY:**  
Office of Safeguards  
and Security



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