

# Preventing Compromises

The Policies and Procedures for  
Ensuring Classified Information is not  
Inadvertently Released

# Purpose

To familiarize individuals who generate classified information, intentionally or unintentionally, with the policies and procedures for preventing its inadvertent release

# *Classification*

The *identification* of that matter we need to protect in the interest of the national security

versus

# *Security*

The *protection* of classified matter

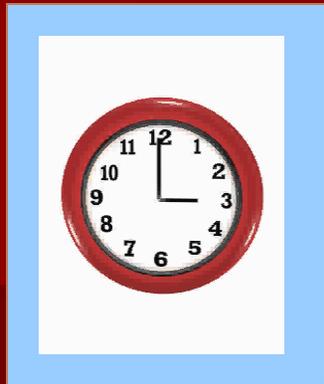
# Why is Classification Important?

PROTECT NATIONAL SECURITY



LIMIT ACCESS TO CERTAIN  
INFORMATION

Only to those with a *NEED TO*  
*KNOW!*



# CLASSIFICATION BUYS TIME!!

- Delays proliferation
  - Adversaries must utilize resources to develop technologies
  - Allows time for political solutions
- Provides time to correct vulnerabilities

# What is a Compromise?

- Disclosure of classified or unclassified controlled information to unauthorized person(s)
  - Strips away the protection afforded by the classification and security system
  - Results in a security infraction

# What Are the Categories of Classified Information?

## Classification Category

- Restricted Data (RD)
- Formerly Restricted Data (FRD)
- National Security Information (NSI)

## Authority



Atomic Energy Act



Executive Order 12958

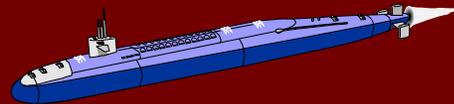
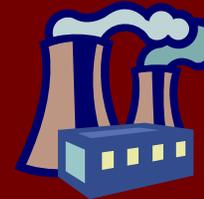
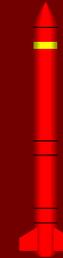


# What is Restricted Data?

- Certain data concerning the
  - 1) Design, Manufacture, or Utilization of Atomic Weapons
  - 2) Production of Special Nuclear Material
  - 3) Use of Special Nuclear Material in the Production of Energy

# What are the Major Areas of Restricted Data?

- Nuclear Weapon Design
- Nuclear Material Production
  - Production Reactors
  - Isotope Separation (e.g., Gaseous Diffusion, Gas Centrifuge)
  - Quantities
- Naval Reactors



# What is Formerly Restricted Data (FRD)?



Classified information which has been removed from the Restricted Data category after DOE and DoD jointly determine that it

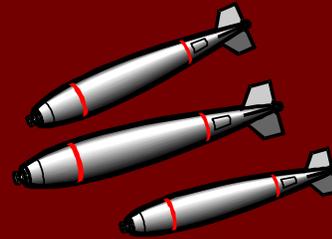


- 1) relates primarily to the military utilization of atomic weapons and
- 2) can be adequately safeguarded as national security information

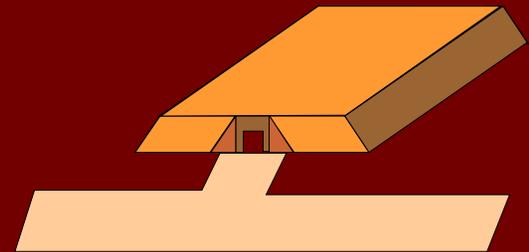
**"FORMERLY" DOES NOT MEAN UNCLASSIFIED**

# What are Examples of Formerly Restricted Data?

- Stockpile quantities



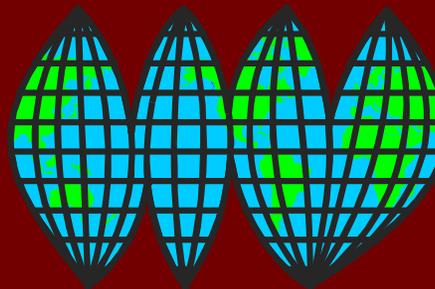
- Weapons safety & storage



- Yields



- Locations



**Caution: Historical information may still be classified FRD**



# What is National Security Information (NSI)?

Information which pertains to the national defense or foreign relations (National Security) of the United States and has been classified in accordance with an Executive order (currently Executive Order 12958)

# What are Major Subject Areas of NSI?

- Safeguards and Security
- Arms Control Negotiations
- Nonproliferation
- Chemical/Biological
- Intelligence/Counterintelligence
- Foreign Relations
- Radiological Emergency Response

# What are the Classification Levels?

Level	Release could result in
■ <b>Top Secret</b>	
RD/FRD/NSI	Exceptionally Grave Damage
■ <b>Secret</b>	
RD/FRD/NSI	Serious Damage
■ <b>Confidential</b>	
RD/FRD	Undue Risk to the Common Defense and Security which can be described
NSI	Identifiable Damage

# What are Your Individual Classification Responsibilities?

- Ensure that each document
  - Generated in a classified subject area receives a classification review
  - That is suspected of containing classified information receives a classification review
- Report incidents of security or classification concern

# What are Classified Subject Areas?

- Information that falls within the definition of RD, FRD, or NSI
- Within NNSA there are many common classified topic areas in our major areas of work
  - Weapons Data
  - International Affairs
  - Emergency Response
  - Safeguards and Security

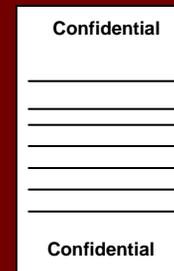
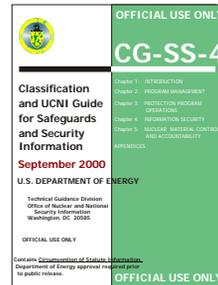
# Who Must Conduct Classification Reviews?

- Only Derivative Classifiers (DC)

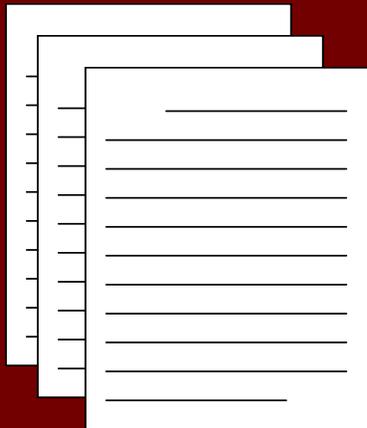
- Required by DOE Manual 475.1-1A, *Identifying Classified Information*
- Trained in derivative classification
- Authorized in specific subject areas
- Have up-to-date classification guidance for subject areas of authority
- Appointed by NA-70 or the local Classification Officer

# How Does a DC Make Decisions?

## Classification Guidance



## Documents for Review



Derivative Classifiers use classification guidance to determine if a document contains RD, FRD, or NSI or is unclassified

# How Does a DC Make a Decision?

- Must base decision on published classification guidance
- Source documents not authorized for RD, and only in certain circumstances for NSI
- Information in the public domain cannot be used – must always confirm classification status

# What Makes Classification Difficult?

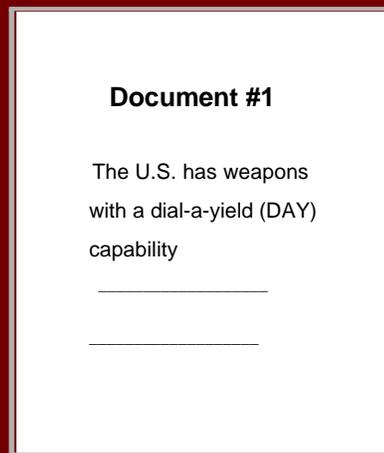
## “Context”

- Person making decision must be aware of all classification guidance applicable to the subject area
- Information published in one context may be unclassified but may be classified in a different context
- Example
  - Physics phenomenon discussed in basic science or research is unclassified
  - The same phenomenon discussed in the context of weapon science may be classified

# What Makes Classification Difficult?

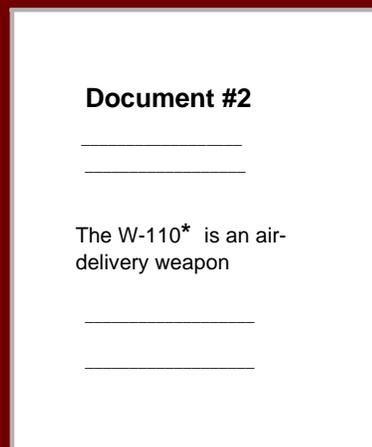
## “Association”

- Two pieces of unclassified information placed together to reveal classified information through their association
- Association could be within one document (i.e., weapon + material)
- Association could be created by combining unclassified information from separate documents into one



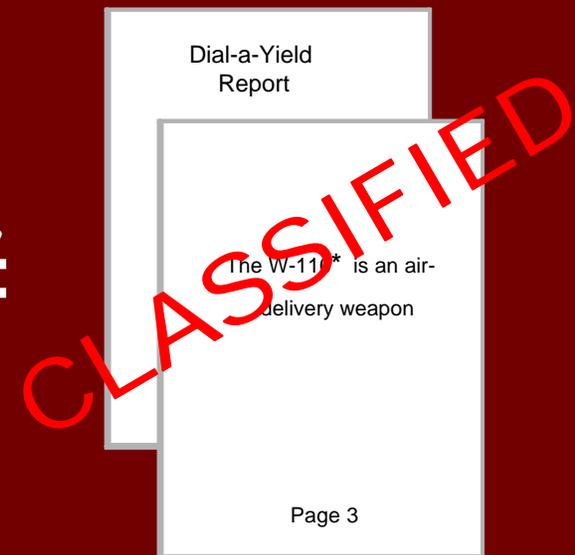
UNCLASSIFIED

+



UNCLASSIFIED

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UNCLASSIFIED

\*fictitious weapon

# Why Are Some Documents Not Reviewed, as Required?

## Common Pitfalls



1. "I am confident that this document doesn't need a review."
2. "All of this information is from the public domain, so it's not classified and doesn't need a review."
3. "I'm in a hurry and I'm pretty sure it's not classified."

# "This Document Doesn't Need a Review."

- Pitfall #1 - Overconfidence
- Why it's a pitfall
  - You can only be confident if
    - You are a DC with the proper guidance available
    - You have previously discussed the exact (not similar) information with a DC and learned that it isn't classified
    - The same information has been discussed in subject matter-related classification awareness briefing
- Solution - Don't be overconfident, consult a DC



# “The information is from the Public Domain, so it’s not classified.”

- Pitfall #2 – Bad Assumption



- Why it’s a pitfall

- You can’t always be sure information in the public domain is unclassified
- The appearance of classified information in the public domain DOES NOT mean it is unclassified
- Even if information is unclassified as it appears in the public domain, it may be classified in the context of your document

- Solution - Consult a DC to verify the classification status of information in classified subject areas that appears in the public domain before using it in any document

# “I’m in a hurry...”

- Pitfall #3 – Bad Practice
- Why it’s a pitfall
  - Risks the release of classified information
  - It takes longer to deal with a possible security infraction, investigation and computer sanitization than to get a DC review
- Solution - Take the time to have a DC review documents in a classified subject area



# Examples of Compromises E-Mail Threads

Consider this thread about a classified meeting in a meeting room outside a security area (not approved for routine or recurring classified discussions).

**From:** Les Bright  
**Sent:** Wednesday, August 1, 2007 4:18 PM  
**To:** B. Safe, R. Smart, I. M. Careful,  
**Cc:** D. Brown  
**Subject:** Weapons Committee Meeting

The weapons committee will meet at HQ Germantown, MD on August 31, 2007 from 10 AM to 12 PM. Please send your clearance by August 15. Contract Ms. Brown when you reach the guard desk.

- I.M.  
Weapons Committee Secretary  
Department of Energy

**From:** B. Safe  
**Sent:** Monday, August 13, 2007 4:58 PM  
**To:** Les Bright  
**Cc:**  
**Subject:** FW: Weapons Committee Meeting

Where are we are meeting? My badge will get me in the building, so I will park at the nearest entrance.  
Thanks,  
B. Safe

**From:** Les Bright  
**Sent:** Tuesday, August 14, 2007 4:59 PM  
**To:** B. Safe  
**Cc:** D. Brown  
**Subject:** FW: Weapons Committee Meeting

Room E-401. See you there.

By itself any one e-mail is unclassified.

The first two or last two e-mails together are unclassified.

The first and last e-mail together are classified.

CG-SS-4, Topic 3422  
Room number associated with

- Date
- Time
- Fact of classified meeting

**Classified!!**

# Examples of Compromises

## Draft Documents

### Classification Guide for Materials

#### Material X used in Weapons

Weapon not specified	U
Specified weapon	U

#### Material Y used in Weapons

Weapon not specified	U
Specified weapon	CRD

UNCLASSIFIED  
draft report

Environmental Report  
For the Demilitarization  
of the W-110\*



Edits to the draft make  
the document  
CLASSIFIED due to  
association of material Y  
with the W-110

and Y  
Material X ^ will  
be shipped to  
Site B

**CLASSIFIED**

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\*fictitious weapon

# Examples of Compromises Association

**DOE**  
**Press Release**  
DOE confirms Site B  
work on The W-110\*

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The W-110 is the only weapon  
currently being worked on at Site B.

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\*fictitious weapon

E-mail is CLASSIFIED  
because of the  
association between the  
W-110 (Site B) and  
material Y

**From:** Les Bright  
**Sent:** Monday, August 13, 2007 4:59 PM  
**To:** B. Safe  
**Cc:**  
**Subject:** Work at Site B

We are experiencing technical difficulties with the computers in the project to recover material Y during the demilitarization process. The response from computer support has been inadequate. Please advise me of a point of contact I may call to correct these problems.

Les Bright

**CLASSIFIED**

# What is a Security Infraction?

- Failing to classify information, documents, or material requiring classification
- Misclassifying information, documents, or material
- Failing to obtain classification guidance, thereby causing a compromise or potential compromise of classified matter

# What Happens when a Security Incident is Reported?

- The incident is investigated
  - May be a security infraction (subject to administrative penalties)
  - May also be a security violation (subject to civil or criminal penalties)
- If a compromise occurred all computers containing the information must be sanitized (including persons who receive the information via e-mail)



# What are Possible Penalties?

## ■ Infractions

- Administrative penalty
  - Verbal admonishment
  - Written reprimand
  - Suspension or termination



## ■ Violation

- Civil penalty of up to \$100,000
- Criminal penalty of
  - Maximum of 10 years (without intent)
  - Maximum of Life (with intent)

# Remember

- Do not create a document (including e-mail) in a classified subject area on an unclassified computer before it is reviewed to determine it is not classified
- Subsequent drafts may add information which change the context or add an association so that the document becomes classified – make sure subsequent drafts are reviewed
- Don't be overconfident, check with a DC when appropriate

# Where Can You Get Help?

## ■ Your Classification Officer

- John Adams
- [John.Adams@nnsa.doe.gov](mailto:John.Adams@nnsa.doe.gov)
- 301-903-4104 or 301-903-9397

## ■ Your Derivative Classifiers

- A list of NNSA Classifiers, Declassifiers and UCNI Reviewers can be found on the NNSA HSO Website at <http://hq.na.gov/hso>

If discussing potentially classified information, use  
classified means of transmission

I certify I have read the HQ Preventing Compromises Briefing and understand my responsibility to have potentially classified work products reviewed prior to their transmission or release.

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Name

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Signature

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Date

Fax Completed Page to 301-903-0130