

SECURITY PLAN
for
INFORMATION/DOCUMENT
CLASSIFICATION, UCNI AND OTHER SENSITIVE INFORMATION
REVIEWS
THAT ARE REQUESTED BY VISITORS

Revision 1

Prepared by the
Classification Office

SECURITY PLAN FOR INFORMATION/DOCUMENT
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INTRODUCTION

A. This plan is intended to protect classified and Unclassified Controlled Nuclear Information (UCNI) as well as a broad spectrum of other sensitive information in accordance with DOE orders, statutes, business commitments and responsible information management practice. It is applicable to Oak Ridge Operations (ORO), its contractors, and other entities performing services for it. The Plan is intended to pertain to the work of Lockheed Martin Utility Services (LMUS) only in so far as LMUS is performing work for ORO.

B. CAUTION: THIS SECURITY PLAN ASSUMES/REQUIRES THAT THE VISITOR HAS A SECURITY CLEARANCE ADEQUATE TO ALLOW ACCESS TO CLASSIFIED AND POTENTIALLY CLASSIFIED RECORDS, DISCUSSIONS AND PLANT AREAS, AND THE PROPER CREDENTIALS TO ACCESS UNCLASSIFIED CONTROLLED NUCLEAR INFORMATION (UCNI). ALSO THIS SECURITY PLAN REQUIRES THAT THE VISITOR HAS BEEN PROPERLY TRAINED IN CLASSIFIED MATTER PROTECTION AND CONTROL (CMPC) PROCEDURES FOR THE HANDLING OF CLASSIFIED AND POTENTIALLY CLASSIFIED DOCUMENTS AND MATERIALS. IF THE VISITOR DOES NOT HAVE THESE PRE-REQUISITES, THEN THE VISITOR'S HOST SHOULD CONTACT THE SITE OR ORO VISITOR CONTROL, CLASSIFICATION, AND CMPC OFFICES BEFORE THE VISITOR IS PERMITTED TO ACCESS CLASSIFIED OR POTENTIALLY CLASSIFIED INFORMATION OR UCNI.

C. Security infractions will be issued to individuals who (1) reveal classified information to uncleared individuals or classified information or UCNI to individuals who do not have a need-to-know; (2) include classified information in unclassified documents; (3) enter classified information on an unclassified computer system or unsecured network; (4) conduct classified conversations in unsecure locations or over unsecure devices; (5) transport classified information into/out of unsecured locations; (6) Failure to obtain classification guidance; (7) Failure to report an infraction or incident of security concern; or otherwise violate the terms of the Classified Information Nondisclosure Agreement (SF-312) which they signed. Appropriate

disciplinary action will be taken, which may include denial of access to classified information and/or facilities.

I. PURPOSE

This Security Plan describes in a consolidated location the information/document review procedures for visitors conducting work and interviews with the potential to involve classified or Unclassified Controlled Nuclear Information (UCNI) aspects of the Department of Energy Oak Ridge Operations (DOE-ORO) facilities as well as several other sensitive information categories that are protected because of statute, business agreement or other commitments or requirements.. “Visitors” includes all non-ORO, (and some ORO, see exception in I, 1, below), non-Lockheed Martin Energy Systems/Energy Research, (or non- Lockheed Martin Utility Services) persons who visit the:

- A. Five DOE sites with major classified interests; Y-12 Plant, Oak Ridge National Laboratory (ORNL), the K-25 Site, and the Portsmouth and Paducah Gaseous Diffusion Plants, or
- B. Related ORO federal sites, site offices, and program offices, or
- C. The ORO Records Holding Area (RHA), or
- D. Facilities of the federal records centers and National Archives and Records Administration (NARA) housing records both marked classified and unclassified, which may have records relating to classified or UCNI subject matter or other subject matter which were generated by federal and contractor personnel.

and have the potential to be exposed to classified or UCNI information or other sensitive information. This Plan does not necessarily relate to the activities of the inspectors of the International Atomic Energy Agency (IAEA). IAEA inspectors will visit ORO sites in accordance with the protocols established between the Department and the IAEA.

“Visitors” can be:

- 1. Auditors (Sites are encouraged to apply this Plan to ORO Audit Teams)
- 2. DOE Headquarters personnel
- 3. The Inspector General
- 4. State and Federal Regulatory authorities
- 5. Support Services Contractors (SSCs) performing studies for, for example, DOE or Lockheed Martin who are generating work products that may be widely disseminated within DOE or disseminated to the public that will not be reviewed by DOE/Lockheed Martin before such dissemination. **IMPORTANT: REGARDLESS OF WORK ASSIGNMENT, ALL SSCs ARE SUBJECT TO THE DISCIPLINARY ACTION OF THE “INTRODUCTION” PARAGRAPH " C.", ABOVE. RESPONSIBILITY RESTS WITH THE INDIVIDUAL TO CONTACT HIS/HER SITE HOST OR AN AUTHORIZED CLASSIFIER TO ASCERTAIN THE CLASSIFICATION OR UCNI STATUS OF INFORMATION UNLESS THE INDIVIDUAL IS CERTAIN THAT THE**

INFORMATION IS NOT CLASSIFIED OR UCNI. CLASSIFICATION QUESTIONS SHOULD BE CONDUCTED IN A DOE APPROVED SECURE MODE TO AVOID THE CHANCE OF COMMITTING A SECURITY INFRACTION.

6. Cooperative Research and Development Agreement (CRADA) and Work for Others (WFO) partners that access DOE classified information or UCNI or other sensitive information..
7. Etc.

In the course of their work, visitors may be given broad, comprehensive access to classified information and unclassified sensitive information that must be protected by law or other requirements for the security of the United States or other considerations. This information must be properly protected to ensure that it is not disseminated to unauthorized individuals. Every reasonable effort will be made to facilitate the access of properly cleared visitors and their authorized contractors with clearances to the information needed for the conduct of their work. The DOE/Energy Systems/ Energy Research Community is committed to providing timely classification, UCNI and other unclassified sensitive information reviews and to working with visitors in accomplishing the requirements described in the detailed procedures (Appendix B) in this Security Plan.

II. SCOPE

The requirements in this Security Plan flow from the Atomic Energy Act of 1954, as amended; Executive Order 12958; the Privacy Act of 1974; the National Competitiveness Technology Transfer Act of 1989; the Freedom of Information Act; the Arms Export Control Act; the Export Administration Act; the Nuclear Non-Proliferation Act; the Small Business Innovation Development Act of 1982; Patent Rights in Inventions Made with Federal Assistance (35 USC 205); DOE implementing Orders; and Energy Systems and Energy Research procedures including individual responsibilities as stated in the Classified Information Nondisclosure Agreement (SF-312), which was signed by each person who has a clearance. This Security Plan is intended to prevent the unauthorized disclosure of classified information, Unclassified Controlled Nuclear Information (UCNI), and other unclassified sensitive information that requires protection. It is expected that a significant number of DOE and contractor-generated documents will be requested by visitors for public release. Therefore, before off-site use (i.e., public release), visitors must ensure that each DOE or contractor-generated document does not contain classified information, UCNI, or other unclassified sensitive information, and is approved for public release. (See Appendix B for procedures relating to document review).

Visitors are encouraged to perform all of their work analyses and document production work on the plant sites to minimize the potential for breaching national security or the dissemination of classified or UCNI information that would allow the construction of weapons of mass destruction. Because of the possibility of inadvertently including classified information in their work products (documents, notes, etc.), visitors must submit all interim and final documents ("document" is defined in DOE Order 5650.2B, *Identification of Classified Information*, Chapter I, 2.gg.) that have the potential to include classified information or UCNI to the applicable DOE/Energy Systems/Energy Research Classification Office (or at Portsmouth or Paducah the DOE designated site Classification Officer) for review as described in Appendix B, dependant on the information and documents accessed by the visitor. The DOE, Energy Systems, and Energy Research Classification Offices shall review the visitor's work products for classified

information and UCNI and will not review these work products for any other content, when working under the auspices of DOE Order 5650.2B or 471.1, "Identification and Protection of UCNI". The review of such documents will be performed, "in trust" with respect to the confidentiality and privacy of the information collected by the visitor. Visitors shall be provided classification sensitivity training and refresher training by the appropriate site classification office when appropriate. Visitors must recognize that such training does not provide definitive knowledge or authority to make classification decisions. **IMPORTANT: ALL VISITORS ARE SUBJECT TO THE DISCIPLINARY ACTION OF THE "INTRODUCTION" PARAGRAPH "C.", ABOVE. RESPONSIBILITY RESTS WITH THE INDIVIDUAL TO CONTACT HIS/HER SITE HOST OR AN AUTHORIZED CLASSIFIER TO ASCERTAIN THE CLASSIFICATION OR UCNI STATUS OF INFORMATION UNLESS THE INDIVIDUAL IS CERTAIN THAT THE INFORMATION IS NOT CLASSIFIED OR UCNI. CLASSIFICATION QUESTIONS SHOULD BE CONDUCTED IN A DOE APPROVED SECURE MODE TO AVOID THE CHANCE OF COMMITTING A SECURITY INFRACTION.**

In addition, the scope of this plan also covers any visitor--generated notes taken at Federal record centers (FRCs) or the National Archives and Record Administration (NARA) and photocopies of documents visitors receive from FRCs or NARA. These documents shall be reviewed in accordance with the protocol in this security plan. **Notes and copies taken at unsecured FRCs or NARA sites (i.e., sites that contain no marked classified documents) shall be sent to the designated Site Visit Host, (e.g. the respective plant Health Study Agreement Coordinator, Tennessee Oversight Agreement Coordinator, etc.) at the Oak Ridge site under review by regular mail or conveyed directly and speedily in person. Notes and copies taken at secure FRCs or NARA sites (i.e., sites that contain marked classified documents) shall be submitted to the FRC or NARA site for transmission to the approved classified mailing address of the Oak Ridge site under review.**

III. RESPONSIBILITIES

A. *Site Visit Host*

1. Serve as the point of contact with visitors, (e.g. ORO Health Studies Coordinator, ORO Site Office contact, Lockheed Martin Health Studies Coordinator, EPA compliance visit coordinator, etc.). Acts as the visitor's intermediary for classification review, and monitors compliance by the visitor with this procedure.

Arranges for all required health, safety and security training.

2. Arranges for a classified repository to be available for visitors, if necessary. This repository must be used for the storage of classified documents and information pending classification review.
3. Coordinates the review of documents with the ORO and/or Site Classification and/or Technical Information Offices (dependant on the subject matter, document type and the respective plant site) and addresses any other security-related issues that may arise with the appropriate CMPC Manager, dependant on

the issue.

4. Ensures that need-to-know is established through completion of appropriate forms and work requirement analysis. Keeps these updated and distributed to appropriate DOE and Lockheed Martin assistants.
5. Consults with the ORO or Site Classification Office if the visitor wishes to take samples that might have classified constituents.
6. Arranges for Property Removal Passes for visitors who are removing equipment, magnetic media, etc., from any Energy Systems/Energy Research facility. The Site Security Department (or Site Visit Host's supervisor at some sites) must sign the pass and ensure that the equipment does not contain any classified information, UCNI or other sensitive matter or material by consulting with the Site Classification Office and other officials, as necessary.

B. *Visitors (and their contractors)*

1. Comply with the ORO or respective Site ***Classified Matter Protection and Control Manual*** (CMPC), all ORO, Energy Systems/Energy Research Information Security Procedures, DOE Orders, and this Security Plan as a condition for performing activities.
2. Ensure that each DOE or Contractor-generated document has been approved for public release before off-site use. (See Appendix B for procedures relating to document review.)
3. Ensure that all visitor-generated notes/documents, that meet the criteria described in Appendix B, are reviewed by the ORO or respective Site Classification Office before off-site use. (See Appendix B for procedures relating to notes/document review.)
4. Protect all classified and UCNI per procedures described in CMPC manual.
5. Obtain need-to-know approval from DOE-ORO program official/point of contact for access to classified documents.
6. Ensure that all physical sampling is coordinated with the Site Visit Host.
7. Conduct all formal interviews of current employees to discuss broad areas of site operations, process materials, etc., in a secure facility by properly cleared visitor team members. Protect documentation taken during these interviews as potentially classified and submit it to the Site Visit Host for review.
8. Conduct all interviews with former employees that have the potential to involve classified information in a secure facility arranged by the Site Visit Host.

Some technical areas that pose minimal risk to a disclosure of classified

information are discussed below. Conversations about such areas should be restricted solely to operations and information at Oak Ridge facilities, and should not include activities at any other operations office site, e.g. Albuquerque, Los Alamos or Richland.

- A. The activities surrounding the radio lanthanum (RaLa) operations of the Graphite Reactor and associated chemical operations.**
- B. Activities surrounding polychlorinated biphenyls, only with respect to their use in transformers and other electrical equipment.**

PCBs have been found in heat transfer and lubrication systems associated with production operations. These production operations often have classified ramifications associated with them and are best only discussed in a secure mode.

- 9. Through the Site Visit Host apply for a Property Removal Pass for the removal off site of equipment, magnetic media, etc., from any DOE, Energy Systems/Energy Research facility.
- C. *Classification and Technical Information Offices* (for Technical Information Offices delegated UCNI reviews and other administrative support to the Classification Office)
 - 1. Review, and if appropriate, provide release approval for Energy Systems/Energy Research documents, visitor-generated documents, and notes requested for off-site use. (Release approval for documents concerning Energy Systems/Energy Research activities and generated by DOE or its contractors, other than Energy Systems/Energy Research or its predecessors, or other federal agencies shall be coordinated by the Site Technical Information Office.)
 - 2. Provide classification sensitivity training and refresher training when appropriate.
 - D. *Cognizant Security Department*
 - 1. As necessary, provide security training to visitors to ensure a clear understanding of the security concerns and responsibilities.
 - 2. Provide access to special restricted areas, such as Material Access Areas following Energy Systems' procedures. (These areas operate only during limited hours and have additional regulations, such as the two-person rule.)
 - 3. Investigate any security incidents involving potential or known compromise of classified information. Notify appropriate DOE, Energy Systems/Energy Research, Site Visit Host and visitor personnel when an incident has occurred and, if appropriate, issue security infractions based on the results of the

investigation.

IV. APPENDICES

- A. Rationale
- B. Procedures
- C. Declassification of Information Requests
- D. Oak Ridge National Laboratory Activities That Use Or Generate Classified Information Or Which Have A Reasonable Potential To Use Or Generate Classified Information
- E. Oak Ridge K-25 Site Facilities For Which Classification Office Review Of Audit Team Member's Notes Is Require.

Approved: _____ **Date:** _____
- ORO Classification Officer

Approved: _____ **Date:** _____
- ORO CMPC Operations Manager

Approved: _____ **Date:** _____
Director, Safeguards and Security Division

APPENDIX A

RATIONALE

As required in DOE Order 5650.2B, *Identification of Classified Information*, Chapter V, Part G, 2. c., all documents, regardless of format, whether they are marked classified or UCNI, or not, intended for widespread distribution or public release must be reviewed by a DOE or a DOE Contractor Classification Office, (an authorized derivative classifier is not sufficient) if the documents concern Category II (an activity with the potential for using or generating classified information), Category III (an activity with great potential for using or generating classified information), or other classified program areas as defined in the Order.

Most facilities/buildings at the three sites in Oak Ridge (Y-12 Plant, K-25 Site, ORNL) and the Paducah and Portsmouth Gaseous Diffusion Plants have at some time been engaged in classified activities. Category II and Category III facilities will change over time as security fence lines and plant missions change. Caution must be exercised by visitors when accessing historical information concerning facilities that currently are not listed as Category II or Category III facilities. This includes certain areas on the Oak Ridge Reservation not currently under the "control" of any of the three plants. When accessing this information, visitors must consult with the Site or ORO Classification Office to obtain necessary guidance.

Following is the current (January 1996) list of Category II or Category III facilities and activities for the sites that have the potential for engaging in classified activities.

A. Y-12 Plant

Information concerning activities in the Limited, Exclusion, or Protected Security Areas of the Y-12 Plant has the potential to involve classified information.

Information concerning Bear Creek Burial Grounds, Landfill IV, Beta-4 Security Pits, White Wing Storage Area, Coal Pile Trench, Chestnut Ridge Security Pit, United Nuclear Pits, or Roger's Quarry has the potential to involve classified Information.

B. K-25 Site

Information concerning K-25 Site facilities identified in the list entitled "Oak Ridge K-25 Site Facilities for Which Classification Office Review of Audit Team Members' Notes is Required" has the potential to involve classified information. See Appendix E.

C. Oak Ridge National Laboratory

Information concerning non-Designated Unclassified Subject Area (DUSA) Oak Ridge National Laboratory (ORNL) activities has the potential to involve classified information. See Appendix D for these non-DUSA activities.

D. Portsmouth and Paducah Gaseous Diffusion Plants

Consult with the respective Site Classification Office.

This Security Plan also is intended to protect other unclassified sensitive information which is controlled in its dissemination either by statute, (e.g. Export Controlled Information, (ECI) , Privacy Act) or business agreement, (e.g. CRADA partner owned information).

APPENDIX B

PROCEDURES

There are basically three types of information products:

- A. DOE, Other Agency or contractor-generated documents, or notes taken there from,
- B. Visitor generated documents/notes, e.g., those generated by the visitor from observations during tours, those generated in final or interim reports off-site, etc., and
- C. Photographs/videotapes,

that require one or more reviews before the information can be released for off-site use. Although the information review process is similar at the five Oak Ridge plants and the Federal Building complex, the following procedures are site specific to detail the differences.

DOE, Lockheed Martin, and other DOE contractor personnel shall comply with the DOE's "Interim Guidelines on Export Control and Nonproliferation", November 3, 1994 in relation to the review of the "information products, "A", "B", and "C" described above. Particular attention shall be paid to attaching the Export Controlled cover sheet to those documents which contain such information. Visitors should be aware of the criminal and civil liabilities which relate to improper dissemination of Export Controlled Information, (ECI).

A. *DOE, Other Agency, or Contractor-Generated Document Review*

This pertains to all documents whether or not they are marked as classified, UCNI, or not.

1. *Y-12 Plant*

All documents containing Energy Systems information (or its predecessors) - including documents generated by DOE, DOE prime contractors, or DOE subcontractors - requested by visitors for off-site use must be determined to be unclassified by the Y-12 Classification Office and approved for release by the Y-12 Technical Information Office. Additionally, notes taken from documents containing Y-12 Plant-related information (including copies of documents and notes from documents obtained from Federal record centers or the National Archives and Records Administration) must also be determined to be unclassified by the Y-12 Classification Office and approved for release by the Y-12 Technical Information Office. [Release approval for documents generated by DOE, other federal agencies, DOE prime contractors (other than Energy Systems), or DOE subcontractors shall be coordinated by the Y-12 Technical Information Office.] Documents must be stored on-site until approval for public release has been granted. All classified documents and notes taken from classified documents must be stored in a classified repository pending classification review. The following process shall be used for coordinating this review.

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- a. The visitor obtains a copy of a document needed for off-site use.
- b. The visitor determines whether the document has been approved for public release by requesting a copy of the document's Information Control Form (UCN-7721B) from the Y-12 Plant Site Visit Host.
- c. **If** the UCN-7721B form reveals public release approval, **then** the visitor is permitted to take the document off-site without further reviews.
- d. **If** the UCN-7721B form is not available, **then** the visitor must contact the Y-12 Technical Information Office to determine whether the document has been approved for public release.
- e. **If** the document has been approved for public release, **then** additional reviews are not required before off-site use.

NOTE: The Y-12 Technical Information Office will fax a copy of the UCN-7721B form to the visitor upon request.

- f. **If** the document has not been approved for public release, **then** the visitor will initiate a UCN-7721B form with the necessary information provided and submit the package to the Y-12 Plant Site Visit Host.
- g. The Y-12 Plant Site Visit Host will perform a classification review (if authorized as an Authorized Derivative Classifier (ADC)) and deliver the document and UCN-7721B form to the Y-12 Technical Information Office. (This first ADC review may be waived by the Y-12 Classification Officer on a case-by-case basis)
- h. The Y-12 Technical Information Office will perform a sensitivity review and coordinate the classification review and, if necessary, a patent review.

NOTE: All documents approved for public release shall be marked by the Y-12 Technical Information Office as "Approved for Public Release."

- i. Information determined to be classified or UCNI, or unclassified sensitive (privacy information, etc.) will be identified by the Y-12 Classification Office and the Y-12 Technical Information Office, in accordance with their designated authorities, and the visitor will be contacted to determine a resolution, - e.g., sanitization (removal of classified or UCNI information), removal of unclassified sensitive information, or request for the declassification of information or de-control of UCNI (see Appendix C for the declassification of information request procedure). Documents requiring sanitization shall undergo the following process.

- (1) The Y-12 Classification Office (or as delegated for UCNI) the Y-12 Technical Information Office identifies information that is classified UCNI, or unclassified sensitive.
- (2) The Y-12 Classification Office or the Y-12 Technical Information Office, as appropriate, will make one copy of the document.
- (3) Classified, UCNI, or unclassified sensitive is excised from the copied document by the Y-12 Classification Office and/or the Y-12 Technical Information Office.
- (4) The Y-12 Classification Office and/or the Y-12 Technical Information Office ensures that the unsanitized document has proper security classification or UCNI markings.

NOTE: Visitors must protect the unsanitized document as described in the CMPC Manual.

- (5) The sanitized copy is marked by the Y-12 Technical Information Office as "Approved for Public Release."
- (6) The Y-12 Technical Information Office returns the original document and the sanitized document to the Y-12 Plant Site Visit Host who delivers them to the visitor. The visitor shall store classified documents in the provided repository.

2. **K-25 Site**

All documents generated by the K-25 Site or its subcontractors and requested by visitors for off-site use, and notes taken therefrom (including copies of documents and notes from documents obtained from Federal record centers or the National Archives and Records Administration) must be determined to be unclassified by the K-25 Site Classification Office and approved for release by the K-25 Site Technical Information Office. All documents for off-site use approved for public release shall be marked by the K-25 Site Technical Information Office as "Approved for Public Release." Visitors shall request this release approval from the K-25 Site Visit Host, who will subsequently ensure that the required steps are performed.

Visitor requests for off-site use of all other documents concerning K-25 Site activities (e.g., documents generated by DOE or its contractors other than Energy Systems, or its predecessors, or other federal agencies) shall be made to the K-25 Site Technical Information Office which will obtain release approval from the originating entity.

3. ORNL

All documents generated by ORNL or its subcontractors and requested by visitors for off-site use, and notes taken therefrom, (including copies of documents and notes from documents obtained from Federal record centers or the National Archives and Records Administration), must be determined to be unclassified by the ORNL Classification Office and approved for release by the ORNL Technical Information Office. All documents for off-site use approved for public release shall be marked by the ORNL Technical Information Office as "Approved for Public Release." Visitors shall request this release approval from the ORNL Visit Host, who will subsequently ensure that the required steps are performed.

Visitor requests for off-site use of all other documents concerning ORNL activities (e.g., documents generated by DOE, or its contractors other than Energy Research or its predecessors, or other federal agencies) shall be made to the ORNL Technical Information Office, which will obtain release approval from the originating entity.

4. Portsmouth and Paducah

Visitor Hosts shall assure that early coordination is established with the respective classification office and technical information officer before documents are requested by a visitor. To the degree necessary, the respective classification officer shall assure that Category II or Category III documents or UCNI documents, and notes taken therefrom, contained in Federal record centers or the National Archives and Records Administration are properly reviewed before their dissemination.

5. Federally Held Records and non-Lockheed Martin Contractor Held Records

Visitor Hosts, including managers of the Records Holding Area, shall assure that early coordination is established with the ORO Classification Office before documents are requested by a visitor. To the degree necessary, the Classification Officer shall assure that Category II or Category III documents and UCNI documents, and notes taken therefrom, contained in Federal record centers or the National Archives and Records Administration are properly reviewed before their dissemination. Documents that were originated by Lockheed Martin sites shall be referred to it for public release.

- B. *Visitor-Generated Document or Note Review. See section B for review of those notes taken from DOE, Lockheed Martin, other DOE contractor or other Agency documents. This section relates to documents and notes generated by the visitor as a result of observation during tours; those generated in final or interim reports off-site, etc.***

IMPORTANT: ALL VISITORS ARE SUBJECT TO THE DISCIPLINARY ACTION OF THE

“INTRODUCTION” PARAGRAPH "C", ABOVE. RESPONSIBILITY RESTS WITH THE INDIVIDUAL VISITOR TO CONTACT HIS/HER SITE HOST OR AN AUTHORIZED CLASSIFIER TO ASCERTAIN THE CLASSIFICATION OR UCNI STATUS OF INFORMATION UNLESS THE INDIVIDUAL IS CERTAIN THAT THE INFORMATION IS NOT CLASSIFIED OR UCNI WHEN CREATING DOCUMENTS OR CONDUCTING CONVERSATIONS IN AN ON-SITE OR OFF-SITE NON-SECURE FACILITY. CLASSIFICATION QUESTIONS SHOULD BE CONDUCTED IN A DOE APPROVED SECURE MODE TO AVOID THE CHANCE OF COMMITTING A SECURITY INFRACTION.

For documents produced off-site, contact the respective Site Visit Host for instructions on how to transport the documents to the respective site for a review.

1. **Y-12 Plant**

All visitor- generated documents/notes concerning Category II activities (an activity with the potential for using or generating classified information), or Category III activities (an activity with great potential for using or generating classified information), or other classified program areas as defined in DOE Order 5650.2B, *Identification of Classified Information*, must be reviewed by the Y-12 Classification Office for classification review before release to the public. These information products must be protected as potentially classified until reviewed by the Y-12 Classification Office. [Notes concerning only Category I activities (having no potential for using or generating classified information) do not require classification review; however, it is the originator's responsibility to refer questionable cases to an Authorized Derivative Classifier through the Y-12 Plant Site Visit Host. Notes which contain or may contain UCNI must be referred to the Classification or Technical Information Offices].

Observation notes taken in the Limited, Exclusion, and Protected Security Areas must be protected as potentially classified until reviewed by the Y-12 Classification Office. *Interview* notes concerning activities in the Limited, Exclusion, or Protected Security Areas of the Y-12 Plant must be protected as potentially classified, regardless of the location of the interview, until reviewed by the Y-12 Classification Office. The following procedure shall be used for coordinating reviews of the notes/ documents discussed above in this Section B.

- a. The visitor submits documents/notes to the Y-12 Plant Site Visit Host. The visitor should check the CMPC procedures relating to proper packaging of suspect classified notes. A classified “inter-departmental” envelope with a cover sheet should be utilized.
- b. The Y-12 Plant Site Visit Host delivers the documents/notes to the Y-12 Classification Office.
- c. The Y-12 Classification Office performs a classification review.
- d. **If** the information is classified or UCNI, **then** the visitor is contacted by the Y-12 Classification Office to determine a resolution, - e.g.,

sanitization (removal of classified information), removal of UCNI, or request for the declassification of information (see Appendix C for the declassification of information request procedure).

- e. **If** the documents/notes require sanitization or removal of classified or UCNI, **then** the Y-12 Classification Office will:
 - (1) Identify the information that is classified or UCNI.
 - (2) Make one copy of the original documents/notes.
 - (3) Excise the classified or UCNI information from the copied documents/notes.
 - (4) Ensure that the proper classification and UCNI markings are on the original documents/notes.

NOTE: Visitors must protect the original documents/notes as described in the CMPC Manual.

 - (5) Return the original and copied sanitized documents/notes to the Y-12 Plant Site Visit Host who delivers them to the visitor. The Site Visit Host and the Visitor shall make appropriate arrangements to have the originals protected in an on-site repository, or sent to the visitor's secure facility (if the visitor has one).

- f. **If** the information is not classified, **or UCNI then** the documents/notes are returned to the Y-12 Plant Visit Site Host who delivers them to the visitor. UCNI documents may be provided to those visitors who have adequate off-site storage capabilities.

- g. If visitor generated notes and documents are initially determined not to contain classified, UCNI or Export Controlled Information, but do contain other sensitive information, the visitor will be contacted to discuss resolution.

All visitor-generated documents/notes concerning **Technology Transfer** activities must be approved for release by the Y-12 Technical Information Office before off-site use. The following procedure shall be used for coordinating this review.

- a. The visitor submits documents/notes and a UCN-7721B form with the necessary information to the Y-12 Plant Site Visit Host.

- b. The Y-12 Plant Site Visit Host will perform a classification review (if authorized as an Authorized Derivative Classifier) and deliver the document/notes to the Y-12 Technical Information Office.

- c. The Y-12 Technical Information Office will perform a sensitivity review and coordinate the classification review with the Classification Office and, if necessary, a patent review.

NOTE: All documents approved for public release shall be marked by the Y-12 Technical Information Office as "Approved for Public Release."

- d. Information determined to be classified or UCNI will be identified by the Y-12 Classification Office (or the Technical Information Office if so delegated for UCNI), and the visitor will be contacted to determine a resolution - e.g. removal of the sensitive information. Documents requiring the removal of classified or UCNI shall undergo the following process. (Information determined to be unclassified sensitive, will be identified by the Y-12 Technical Information Office, and the visitor will be contacted for resolution.)

- (1) The Y-12 Classification/Technical Information Office identifies information that is classified or UCNI.
- (2) The Y-12 Technical Information Office will make one copy of the document/notes.
- (3) Classified or UCNI is excised from the copied documents/notes by the Y-12 Technical Information Office.
- (4) The Y-12 Technical Information Office ensures that proper markings are on the unsanitized documents/notes.

NOTE: Visitors must protect the unsanitized documents/notes as described in the CMPC.

- (5) The sanitized copy is marked by the Y-12 Technical Information Office as "Approved for Public Release."
- (6) The Y-12 Plant Site Visit Host is contacted by the Y-12 Technical Information Office to return the original documents/notes and the sanitized documents/notes to the visitor.

2. **K-25 Site**

Documents/notes concerning K-25 Site facilities identified in a list entitled, "***Oak Ridge K-25 Site Facilities for Which Classification Office Review of Audit Team Members' Notes is Required,***" (see Appendix E) must be protected as potentially classified until reviewed by the K-25 Site Classification Office. (Documents/notes to be reviewed by the K-25 Site Classification Office must either be taken directly to the K-25 Site Classification Office by the visitor, or the review must be coordinated by the K-25 Site Visit Host, in accordance with procedures stated in the CMPC manual.). Visitors are advised that much information that is no longer classified about the K-25 Site is controlled by the United States and world community as ECI. At K-25 just about any

“technically dense” information (custom stoichiometry, equipment design, operating procedures, etc.) may be ECI. Visitors should discuss these matters with the K-25 Site Visit Host.

3. **ORNL**

Documents/notes concerning a non-DUSA ORNL activity must be protected as potentially classified until reviewed by the ORNL Classification Office. The ORNL Classification Office shall provide a list of current non-DUSA ORNL activities to ORNL Management at least annually. (Documents/notes to be reviewed by the ORNL Classification Office must either be taken directly to the ORNL Classification Office by the visitor, or the review must be coordinated by the ORNL Site Visit Host, in accordance with procedures stated in the CMPC manual.) Visitors are advised that much information that is no longer classified about the ORNL Site is controlled by the United States and world community as ECI. At ORNL just about any “technically dense” information (custom stoichiometry, equipment design, operating procedures, etc.), may be ECI. Visitors should discuss these matters with the ORNL Site Visit Host.

4. **Portsmouth and Paducah**

Site Visitor Hosts shall assure that early coordination is established with the respective classification office before notes are taken by a visitor which may be classified or contain UCNI or other wise contain sensitive information. Review of off-site generated work products should be discussed.

5. **Federally Hosted Visits and non-Lockheed Martin Contractor Sponsored Visits**

Visitor Hosts, including managers of the Records Holding Area, shall assure that early coordination is established with the ORO Classification Office, or a Plant Site Classification Office, before observation or interview notes are taken if they have the potential to contain classified, UCNI or ECI information. Review of off-site generated work products should be discussed.

C. ***Photograph and Videotape Review***

1. **Y-12 Plant**

a. All photographs taken in the Limited, Exclusion, or Protected Areas of the Y-12 Plant must be determined to be unclassified before being taken off-site, and must be protected as potentially classified until reviewed by the Y-12 Classification Office. The following procedure shall be used for coordinating this review.

- (1) The visitor submits the camera film to the Y-12 Plant Site Visit Host.
- (2) The Y-12 Plant Site Visit Host delivers the film to the Y-12 Plant Photography Department for developing and printing.

- (3) The Y-12 Plant Photography Department delivers the negatives to the Y-12 Classification Office for review before they are printed. (If a classified or UCNI negative is found, the visitor is notified to discuss and determine resolution.)
 - (4) The Y-12 Plant Photography Department returns the photographs and negatives to the Y-12 Plant Site Visit Host who delivers them to the visitor. Photographs that are determined to be classified or UCNI shall be stored in an appropriate repository.
- b. All videotapes taken in the Limited, Exclusion, Protected, or Technology Transfer areas of the plant must be approved for release by the Y-12 Technical Information Office. The following procedure shall be used for coordinating this review.
- (1) The visitor submits the videotape and a UCN-7721B form, with the appropriate information provided, to the Y-12 Plant Site Visit Host.
 - (2) The Y-12 Plant Site Visit Host delivers the videotape and UCN-7721B form to the Y-12 Technical Information Office.
 - (3) The Y-12 Technical Information Office coordinates the required reviews with the classification office as appropriate. (If a classified or UCNI segment is found, the Y-12 Classification Office or the Y-12 Technical Information Office, as appropriate, shall contact the visitor to discuss and determine resolution.)
 - (4) The Y-12 Technical Information Office returns the videotape to the Y-12 Plant Site Visit Host who returns it to the visitor. Video tapes determined to be classified or UCNI shall be stored in an appropriate repository.

2. **K-25 Site**

All photographs and videotapes taken by visitors that concern areas at the K-25 Site identified in a list entitled, "*Oak Ridge K-25 Site Facilities for Which Classification Office Review of Audit Team Members' Notes is Required*," must be protected as potentially classified until they are reviewed by the K-25 Site Classification Office. The K-25 Site Visit Host shall coordinate this classification review.

3. **ORNL**

All photographs and videotapes taken by visitors that concern non-DUSA ORNL activities, (see Appendix D.) must be protected as potentially classified until they are reviewed by the ORNL Classification Office. The ORNL Site Visit Host shall coordinate this classification review.

4. **Portsmouth and Paducah**

Site Visitor Hosts shall assure that early coordination is established with the respective classification office or Security Department, in accordance with local procedure, before photographs are taken by a visitor which may be classified, UCNI or ECI.

5. **Federally Hosted Visits and non-Lockheed Martin Contractors-Sponsored Visits**

Visitor Hosts, including managers of the Records Holding Area, shall assure that early coordination is established with the ORO Classification Office, or a Plant Site Classification Office, before photographs are taken which may contain classified, UCNI or ECI.

APPENDIX C

DECLASSIFICATION OF INFORMATION REQUESTS

The following procedure shall be used for visitor requests to declassify information.

NOTE: Classified information must be protected until the DOE Headquarters Office of Security Affairs makes a formal declassification decision.

1. The manager of the visit team (its senior management) notifies the Site Visit Host and identifies information to be considered for declassification. (Visitors should take into consideration that any declassification proposition is a very resource-intensive and lengthy effort.)
2. The Site Visit Host notifies the Site Classification Office.
3. The Site Classification Office notifies the DOE-ORO Classification Officer.
4. The DOE-ORO Classification Officer and the appropriate DOE-ORO Program Manager consult with the manager of the visit team to determine the rationale for the declassification proposition and to allow the manager of the visit team to decide whether or not to continue with the declassification proposition.
5. If the manager of the visit team decides to continue with the declassification request, the manager of the visit team must submit a letter to the appropriate DOE-ORO Program Manager and send a copy of the letter to the DOE-ORO Classification Officer.

NOTE: Caution must be exercised to ensure that the letter is unclassified.

6. DOE-ORO shall follow the process defined in DOE Order 5650.2B by sending an analysis relating to the declassification proposition to the DOE Headquarters Office of Declassification.
7. The DOE-ORO Classification Officer shall contact the manager of the visit team and the DOE-ORO Program Manager with the response from the DOE Headquarters Office of Declassification.

NOTE: A similar process shall be followed for information classified by other government agencies.