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# A Reference Guide for Marking DoD Documents

Introduction

The Marking Process

DoD Distribution Codes/Levels

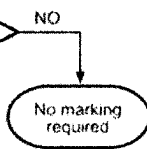
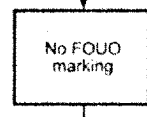
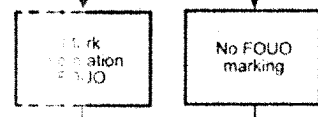
FOIA and Privacy Act

Marking DoD Classified Documents

Placement of DoD Distribution Statements

Glossary

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## U.S. Department of Defense

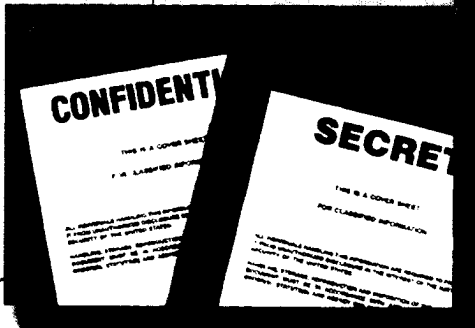
- FOIA Exemptions**
- b(2) Records relating solely to internal personnel rules and practices
  - b(3) Records specifically exempted by law
  - b(4) Trade secrets and commercial or financial information
  - b(5) Internal records that are deliberative in nature
  - b(6) Records, which if released, would result in an invasion of personal privacy
  - b(7) Investigatory information compiled for law enforcement purposes
  - b(8) Records used for the regulation of financial institutions
  - b(9) Records containing geological and geophysical information on wells



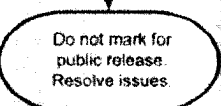
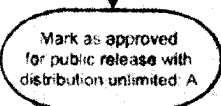
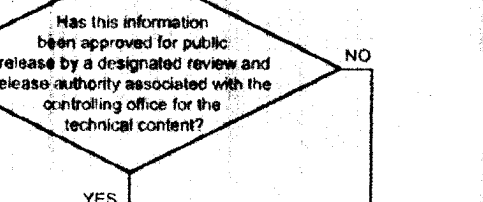
**Markings**

Information requires restating or information that enhancements to information/

Information controlled by Atomic Energy Act of 1954 - Restricted Data, Formerly Restricted Data, and Critical Nuclear Weapon Design Information  
Such as NNPI, COMSEC, NATO, DoD UCN



- Proprietary information?  
Test and evaluation data?  
Administrative or operational data?  
Military critical technology?  
Direct military support?  
Foreign government information?  
Software documentation?  
Specific authority?



**Distribution Statement A**  
Approved for public release: distribution is unlimited.

Mark for  
E DoD and DoD contractors only  
D DoD and DoD contractors only  
B Government only

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# Introduction

## Purpose

Marking is the principal way of letting holders of information know the specific protection requirements for that information. Markings and designations serve several purposes:

- Alert holders to the presence of classified information, information protected under the Freedom of Information Act (FOIA), and technical information with restrictions on its dissemination.
- Identify, as specifically as possible, the exact information needing protection.
- Indicate the **level** of classification and any other markings for control of the information.
- Give information on the source(s) and reasons for classification or other restrictions.
- Warn holders of special access, control, or safeguarding requirements.

This guide gives Department of Defense (DoD) staff and contractors an overview of the kinds of marking required to protect classified and unclassified controlled information that cannot be disseminated to all audiences. The guide offers an integrated approach to the major requirements for marking and control of information, briefly explaining the reasons for marking and providing examples of correctly marked documents.

This guide is *not* a substitute for training in the major systems of DoD document and data control. If your job includes original or derivative classification, decisions about FOIA exemptions, or management of scientific and technical information, you must attend specialized training.

## Background and Policy

DoD policy is to maximize the availability of information consistent with the restraints necessary to protect national security, U.S. economic security, and the rights and interests of individuals, businesses, and foreign governments. To implement this policy, DoD personnel must be able to understand, and balance, the diverse requirements that guide their decisions about managing the flow of DoD information and data.

## Getting Started

If you have responsibilities for marking information, you must consider the big picture: What features of this information may require protection?

Begin with three questions:

- Is the information classified?
- Does it include content that restricts it from public access under the FOIA?
- Is it technical information requiring a DoD Distribution Statement?

The following section, The Marking Process, summarizes the path to follow in making marking decisions. The process is keyed to major sections of the guide where you will find explanations, links to references, more details, and examples.

A foldout decision tree showing the marking process is located at the back of this guide.



# The Marking Process

1. **Classified:** If information is classified and therefore exempt from release under the FOIA exemption (b)(1), it must be marked as one of three levels:

Top Secret (TS)  
Secret (S)  
Confidential (C)

Begin by identifying the level of classified information found in each portion. A portion is usually defined as a paragraph. Subjects and titles are also treated as portions.

If you determine the text does not contain classified, then mark the portion with a U for Unclassified.

2. **Overall Classification Level:** The highest classification level applicable to the information will be marked conspicuously at the top and bottom of the front cover, the title page, the first page of text, and the back cover. Mark internal pages at top and bottom with the highest classification for that page or with overall classification level.
3. **Original Classification:** If the document is “Originally Classified” using the criteria in E.O. 12958, Section 1.5, the document face must identify the original classification authority. A stamp placed at lower left gives classifier information to be completed as follows:
  - On the “Classified by” line, put the name, personal identifier, or the position of the classifier. If the identity of the organization is not apparent on the document, put the name of originating agency below the “Classified by” line.
  - On the “Reason” line, give a concise reason for classification, citing the classification category(ies) of Section 1.5 as basis for classification.
  - On the “Declassify on” line (third line), give a date or event for declassifying the document. Whenever possible, choose the declassification instruction that will result in the *shortest* duration of classification. If an exemption category is used, ensure that it is consistent with the reason. Provide guidance on downgrading (if any).

*See examples for marking originally classified documents in the section on Marking DoD Classified Documents.*

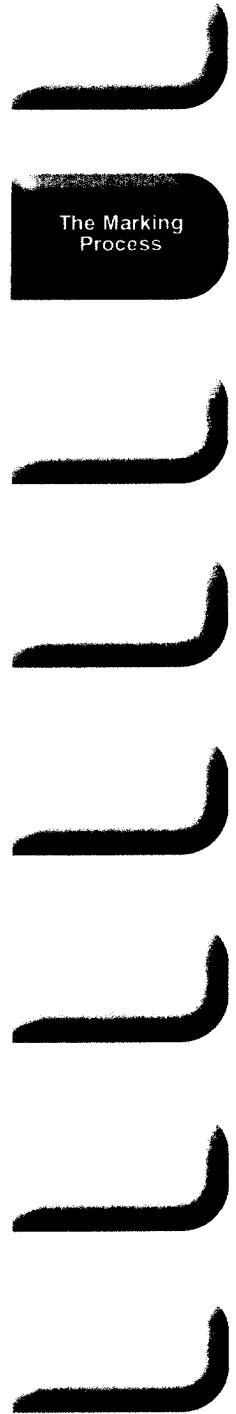
*This section also has instructions for marking working papers and classified e-mail.*

4. **Derivative Classification:** If the document is “Derivatively Classified” using a source document or classification guide, the document face must identify the derivative classification authority. A stamp placed at bottom lower left gives derivative classifier information:
  - On “Derived from” line, put the title/subject of the source document or the name of the classification guide. Put the date of the source document/classification guide.
  - On “Declassify on” line, put declassification instructions from the source document or classification guide and provide guidance on downgrading (if any). Restricted Data (RD) or Formerly Restricted Data (FRD) information defined by the Atomic Energy Act of 1954 is not subject to automatic declassification; therefore, this line is omitted on RD/FRD documents.

*See examples for marking derivatively classified documents.*

5. **Special Markings or Caveats:** Some types of classified information require markings that alert holders to special access, control, or safeguarding requirements. Caveat markings are placed on the first page of the document (cover, title, or first page of text, whichever comes first). In addition, caveats are included in the portion marking and, in some cases, the headers and footers.

*See examples of Special Access Programs (SAP), Intelligence Information/DCID, Foreign Government Information (FGI), and RD/FRD.*



6. **FOIA Exemptions:** If a document has no classified information, the information must still be reviewed to see if it meets the eight other exemptions under the Freedom of Information Act (5 U.S.C. 522) that would make it ineligible for public release. (See “What Are FOIA Exemptions?” in the section on FOIA and Privacy Act and DoD 5400.7-R, *DoD FOIA Program*.) Such information cannot be made public if or when the document is declassified. Mark unclassified portions applicable to FOIA exemptions or personal information protected by the Privacy Act with “FOUO” (For Official Use Only).

“For Official Use Only” is marked conspicuously at the bottom of the cover (if any), title, first page of the text, and the back cover or page. Internal pages are marked “For Official Use Only” at the bottom. If FOUO documents and material are transmitted outside the DoD, they must have an expanded marking on the face so that non-DoD holders understand the status of the information.

*See examples of FOIA/FOUO marking in FOIA and Privacy Act section.*

7. **Technical Content:** Determine if the content of the document, data, or information is technical in nature. If it meets the criteria for DoD technical information or data (see the Glossary), then DoD Directive 5230.24, *Distribution Statements on Technical Documents* also applies.

If it does not, no additional markings are needed.

8. **Primary Distribution:** For newly generated technical documents, the DoD controlling office may produce a list of recipients. This list is the “primary distribution” for the document.

9. **Secondary Distribution:** Determine what audiences can and cannot receive this technical content *without further review or release decisions by the controlling office*; that is, determine the constraints, if any, on the public release of the content. To make this decision use:
  - Your knowledge of the project
  - Relevant information about the content
  - Any supporting documents (such as contractor agreements)
  - Expertise of other DoD staff (such as security or foreign disclosure personnel)

Consider both the primary and secondary lists: Recipients on the primary distribution list should be consistent with the other audiences who can receive the content *except* where the controlling office chooses to exercise its additional approval authority to distribute the document, data, or information beyond the constraints you must now consider.

10. **Reasons for Restricting Distribution:** There must be a clear reason for restricting the distribution of technical content. Review the possible reasons, if any, that may make it necessary to limit the access of selected categories of individuals or organizations to the technical content of your materials. Is this technical document, data, or information:
  - Owned by a foreign government?
  - The result of testing and evaluation?
  - Proprietary?
  - Obtained from management review of a contractor?
  - About a technology on the U.S. Munitions List or the Commodity Control List?
  - About patentable military systems or processes in development/documentation for software covered by a license?
  - Descriptive of administrative procedures or operations?
  - Restricted by a specific law, regulation, or Executive Order?
  - Export-controlled?

A “yes” to any of these questions means that you must consider restricting the document’s secondary distribution to one of the audiences defined in the matrix of distribution levels or codes (see DoD Distribution Codes/Levels).



Note: Not all technical documents or data sets should have a single secondary distribution. For example, different distribution constraints may apply to the separate papers in a conference proceedings. If the document can or should be broken down into logical components, assign a distribution level to each component.

If you answered “no” to all questions, the technical content may be approved for the release to the general public. With the concurrence of the designated review and release authority associated with the controlling office, the document will be assigned distribution level A.

11. **DoD Distribution Statement:** The outcome of your decision will be the choice of one of seven distribution levels – A, B, C, D, E, F, or X. Having made your initial decision, assign the distribution statement, providing all needed information, and place it correctly on the materials.

*See the examples of DoD Distribution Statements in the section on Placement of DoD Distribution Statements.*

12. **Review and Concurrence:** Check your decision against others who have a role in marking documents for distribution. In addition to your own management line and controlling office, reviewers may include the public affairs, security, and foreign disclosure offices, and your Scientific and Technical Information Officer (STINFO) or Technical Data Manager.

The Marking  
Process

**DoD Distribution  
Codes/Levels**

# DoD Distribution Codes/Levels

## Introduction

DoDD 5230.24 requires that all DoD technical documents, data, and information be marked with one of seven distinct DoD Distribution Statements. The DoD Distribution Statement controls the secondary distribution of the technical content.

Although the terms technical documents, data, and information have somewhat different meanings, for simplicity's sake they are collectively called "technical documents" throughout this guide.

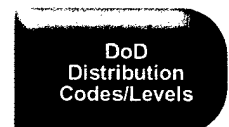
DoD technical documents contain information relating to:

- Research
- Development
- Engineering
- Testing
- Evaluation
- Production
- Operation, use, and maintenance for military products, services, and equipment

## Types of Technical Documents

Examples of technical documents that must be marked with a DoD Distribution Statement are listed in the table below. Please note that the list is not all inclusive.

<b>Types of Documents</b>	<ul style="list-style-type: none"><li>• Technical reports</li><li>• Technical memoranda</li><li>• Technical manuals</li><li>• Conference proceedings</li><li>• Special reports</li><li>• Instructions</li><li>• Engineering drawings</li><li>• Preprints</li><li>• Annual technology program reports</li></ul>	<ul style="list-style-type: none"><li>• Technical notes</li><li>• Technical papers</li><li>• Technical orders</li><li>• Journal articles</li><li>• Plans</li><li>• Computer software</li><li>• Working papers</li><li>• Theses</li></ul>
<b>Media Formats</b>	<ul style="list-style-type: none"><li>• Paper</li><li>• Film</li><li>• Microfilm/microfiche</li><li>• Transparencies</li><li>• Computer diskettes</li><li>• E-mail</li></ul>	<ul style="list-style-type: none"><li>• Electronic</li><li>• Oral presentations</li><li>• Audio/video tapes</li><li>• Slides</li><li>• CD ROM</li></ul>
<b>Forms of Data</b>	<ul style="list-style-type: none"><li>• Blueprints</li><li>• Graphic displays</li><li>• Dimensional data</li><li>• Formulas</li><li>• Maps</li></ul>	<ul style="list-style-type: none"><li>• Drawings</li><li>• Text</li><li>• Numeric data sets</li><li>• Photographs</li><li>• Computer printouts</li></ul>



## Parts of a DoD Distribution Statement

Most of the seven DoD Distribution Statements include the same types of information, even though the level of control varies. A statement usually includes the following four parts:

1. Audience
2. Reason(s) for restriction
3. Identity of the DoD Controlling Office
4. Date

This is a generic example of a DoD Distribution Statement:

Distribution Statement ____ (Fill in Level)
Distribution authorized to _____ (Fill in audience); _____ (Fill in reason); _____ (Fill in date of determination). Other requests for this document shall be referred to _____ (Insert name of DoD Controlling Office).

Each part (Audience, Reason(s) for Restriction, DoD Controlling Office, and Date) provides an essential piece of information about the document.

DoD Distribution Statements A, X, and F are slightly different in composition. To see the differences, go to the specific sections on each of these in this guide.

### ***Audience***

Each DoD Distribution Statement authorizes a specific audience that may receive the document without further review or release decisions by the DoD Controlling Office. The audiences for each statement are listed below:

<b>Audience</b>	<b>DoD Distribution Statement</b>
General public	A
U.S. Government Agencies <i>only</i>	B
U.S. Government Agencies <i>and</i> their contractors	C
DoD and U.S. DoD contractors <i>only</i>	D
DoD components <i>only</i>	E
Individuals/entities authorized by the DoD Controlling Office on a case-by-case basis	F
U.S. Government Agencies <i>and</i> private individuals or enterprises eligible to obtain export-controlled data	X

In the example shown below, the audience is U.S. Government Agencies.

Distribution Statement B

Distribution authorized to *U.S. Government Agencies only* (critical technology; proprietary information); July 31, 2001. Other requests for this document shall be referred to the Defense Advanced Research Projects Agency, 3201 North Fairfax Drive, Arlington, VA 22203-1714.

***Reason(s) for Restriction***

All DoD Distribution Statements must contain a reason for restricting a document to a specific audience. The only exception to this requirement is a document approved for public release (DoD Distribution Statement A). That is because such a document is essentially unrestricted.

Valid reasons are listed under Reason(s) for Restriction, the last section of this topic. More than one reason may be used in the same DoD Distribution Statement, as needed, as shown in the example below.

Distribution Statement B

Distribution authorized to U.S. Government Agencies only (*critical technology; proprietary information*); July 31, 2001. Other requests for this document shall be referred to the Defense Advanced Research Projects Agency, 3201 North Fairfax Drive, Arlington, VA 22203-1714.

Identify the reason(s) for restricting distribution before designating the audience to which the document is restricted. Always select the reason(s) based on whether release beyond the designated audience could be damaging to national, proprietary, or other critical interests.

If there is (are) no reason(s) to restrict, the document should be marked for public release.

***DoD Controlling Office***

The DoD Controlling Office is the DoD office that either:

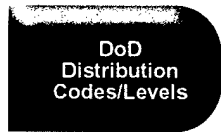
- a. created the content of the technical document,
- b. sponsored the work that generated the technical document, or
- c. received the technical document on behalf of DoD, where DoD is responsible for determining the distribution to protect its contents based on constraints provided to DoD.

When a technical document is approved for public release (DoD Distribution Statement A), the DoD Controlling Office need not be listed.

In the example shown below, the DoD Controlling Office is the Defense Advanced Research Projects Agency. Note that the address must also be included.

Distribution Statement B

Distribution authorized to U.S. Government Agencies only (critical technology; proprietary information); July 31, 2001. Other requests for this document shall be referred to the *Defense Advanced Research Projects Agency, 3201 North Fairfax Drive, Arlington, VA 22203-1714.*



### **Date**

The date that the DoD Distribution Statement was assigned should always be included. Note that this date may be different from the publication date, task completion date, or other significant date for the project.

In the example shown, the date that the DoD Distribution Statement was assigned is July 31, 2001.

<p>Distribution Statement B</p> <p>Distribution authorized to U.S. Government Agencies only (critical technology; proprietary information); <i>July 31, 2001</i>. Other requests for this document shall be referred to the Defense Advanced Research Projects Agency, 3201 North Fairfax Drive, Arlington, VA 22203-1714.</p>
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DoD  
Distribution  
Codes/Levels

### **DoD Distribution Statement Codes/Levels**

The table below lists the DoD Distribution Statements authorized by DoDD 5230.24.

<b>DoD Distribution Statement Code/Level</b>	<b>Description</b>
A	Approved for public release; distribution is unlimited.
C	Distribution authorized to U.S. Government Agencies and their contractors (fill in reason) (date of determination). Other requests for this document shall be referred to (insert DoD Controlling Office).
D	Distribution authorized to the Department of Defense and U.S. DoD contractors only (fill in reason) (date of determination). Other requests for this document shall be referred to (insert DoD Controlling Office).
B	Distribution authorized to U.S. Government Agencies only (fill in reason) (date of determination). Other requests for this document shall be referred to (insert DoD Controlling Office).
E	Distribution authorized to DoD components only (fill in reason) (date of determination). Other requests for this document shall be referred to (insert DoD Controlling Office).
X	Distribution authorized to U.S. Government Agencies and private individuals or enterprises eligible to obtain export-controlled technical data in accordance with DoD Directive 5230.25, <i>Withholding Unclassified Technical Data from Public Disclosure</i> (date of determination). DoD Controlling Office is (insert).
F	Further dissemination only as directed by (insert DoD Controlling Office) (date of determination) or higher DoD authority.

## DoD Distribution Statement A

### *When to Use*

DoD Distribution Statement A may be used only on unclassified technical documents that have been cleared for public release in accordance with DoDD 5230.9.

Technical documents resulting from contracted basic research efforts are normally assigned DoD Distribution Statement A, *except* where there is a high likelihood of disclosing:

- performance characteristics of military systems, or
  - manufacturing technologies that are unique and critical to defense
- and* when agreement on this situation has been recorded in the contract or grant.

Technical documents with this statement means they are available to:

- the public
- foreign nationals
- companies
- foreign governments (including adversary governments)

There are no restrictions on exporting technical documents with DoD Distribution Statement A.

### *When Not to Use*

DoD Distribution Statement A should *not* be used for:

- formerly classified documents (unless they have been cleared in accordance with DoDD 5230.9)
- currently classified documents
- documents containing export-controlled technical data (see DoDD 5230.25)
- any of the other reasons to restrict distribution as described in the Reason(s) for Restriction section
- if the content is considered to contain FOUO or Privacy Act data covered by the FOIA exemptions described in this guide

### *Statement A Format*

Below is the correct format for DoD Distribution Statement A.

<p>Distribution Statement A</p> <p>Approved for public release: distribution is unlimited.</p>
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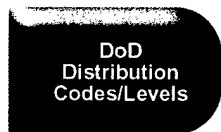
DoD Distribution Statement A does not require a date, identification of the DoD Controlling Office, or reason(s) for restriction.

## DoD Distribution Statement B

### *When to Use*

DoD Distribution Statement B may be used on classified or unclassified technical documents.

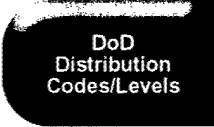
DoD Distribution Statement B restricts the document to U.S. Government Agencies only. Valid reasons for choosing DoD Distribution Statement B are listed under Reason(s) for Restriction, the last section of this topic. More than one reason may be used as needed. For more information, see Reason(s) for Restriction.



### ***Statement B Format***

Below is the correct format for DoD Distribution Statement B.

<p>Distribution Statement B</p> <p>Distribution authorized to U.S. Government Agencies only; _____ (Fill in reason); _____ (Fill in date of determination). Other requests for this document shall be referred to _____ (Insert name of DoD Controlling Office).</p>
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### **DoD Distribution Statement C**

#### ***When to Use***

DoD Distribution Statement C may be used on classified or unclassified technical documents.

DoD Distribution Statement C restricts the document to U.S. Government Agencies and their contractors. Valid reasons for choosing DoD Distribution Statement C are listed in Reason(s) for Restriction, the last section of this topic. More than one reason may be used as needed. For more information, see Reason(s) for Restriction.

#### ***When Not to Use***

DoD Distribution Statement C should not be used on documents that contain information owned by or about a contractor, such as:

- proprietary information,
- test and evaluation information related to specific contractor performance, and
- information about patentable processes or devices when its premature dissemination could jeopardize the patent application.

### ***Statement C Format***

Below is the correct format for DoD Distribution Statement C.

<p>Distribution Statement C</p> <p>Distribution authorized to U.S. Government Agencies and their contractors; _____ (Fill in reason); _____ (Fill in date of determination). Other requests for this document shall be referred to _____ (Insert name of DoD Controlling Office).</p>
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### **DoD Distribution Statement D**

#### ***When to Use***

DoD Distribution Statement D may be used on classified or unclassified technical documents.

DoD Distribution Statement D restricts the document to DoD and U.S. DoD contractors only. Valid reasons for choosing DoD Distribution Statement D are listed under Reason(s) for Restriction, the last section of this topic. More than one reason may be used as needed. For more information, see Reason(s) for Restriction.



### *When Not to Use*

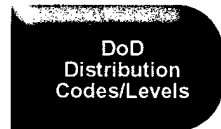
DoD Distribution Statement D should not be used on documents that contain information owned by or about a contractor, such as:

- proprietary information,
- test and evaluation information related to specific contractor performance, and
- information about patentable processes or devices when its premature dissemination could jeopardize the patent application.

### *Statement D Format*

Below is the correct format for DoD Distribution Statement D.

<p>Distribution Statement D</p> <p>Distribution authorized to Department of Defense and U.S. DoD contractors only; _____ (Fill in reason); _____ (Fill in date of determination). Other requests for this document shall be referred to _____ (Insert name of DoD Controlling Office).</p>
--



### **DoD Distribution Statement E**

#### *When to Use*

DoD Distribution Statement E may be used on classified or unclassified technical documents.

DoD Distribution Statement E restricts the document to DoD components only. Valid reasons for choosing DoD Distribution Statement E are listed under Reason(s) for Restriction, the last section of this topic. More than one reason may be used as needed. For more information, see Reason(s) for Restriction.

Note that DoD Distribution Statement E should be used on documents that contain export-controlled information that is part of direct military support.

#### *Statement E Format*

Below is the correct format for DoD Distribution Statement E.

<p>Distribution Statement E</p> <p>Distribution authorized to DoD components only; _____ (Fill in reason); _____ (Fill in date of determination). Other requests for this document shall be referred to _____ (Insert name of DoD Controlling Office).</p>
--

### **DoD Distribution Statement F**

#### *When to Use*

DoD Distribution Statement F is normally used on classified technical documents only. It *may* be used on unclassified technical documents when specific authority exists (for example, when the document contains information related to direct military support).

DoD Distribution Statement F is the most restrictive of the DoD Distribution Statements, allowing the document only to be released by the DoD Controlling Office on a case-by-case basis.

### ***Statement F Format***

Below is the correct format for DoD Distribution Statement F.

<p>Distribution Statement F</p> <p>Further dissemination only as directed by _____ (Insert DoD Controlling Office or higher DoD authority); _____ (Insert date of determination).</p>
---

No audience or reason(s) for restriction is specified in DoD Distribution Statement F.

### **DoD Distribution Statement X**

#### ***When to Use***

DoD Distribution Statement X is used only on unclassified documents when DoD Distribution Statements B, C, D, E, or F do not apply, but the document does contain export-controlled technical data.

The only valid reasons for choosing DoD Distribution Statement X are critical technology and direct military support as listed in Reason(s) for Restriction at the end of this topic. For more information on these two reasons for restriction, go to the section on Reason(s) for Restriction.

#### ***DoD Statement X Format***

Below is the correct format for DoD Distribution Statement X.

<p>Distribution Statement X</p> <p>Distribution authorized to U.S. Government Agencies and private individuals or enterprises eligible to obtain export-controlled technical data in accordance with _____ (Insert appropriate regulation); _____ (Insert date of determination). DoD Controlling Office is _____ (Insert the name of DoD Controlling Office).</p>
--

Always cite the appropriate regulation (e.g., legal statute or congressional act) on which the choice of DoD Distribution Statement X is based.

#### **Export Control Warning**

If a document contains technological information concerning a critical technology, an appropriate DoD Distribution Statement and an Export Control Warning are required.

A listing of critical technologies can be found on the Department of Commerce's Commodity Control List (CCL) and the State Department's United States Munitions List (USML). Consult your Foreign Disclosure Officer for additional information and guidance.

Below is the correct format for an Export Control Warning.

WARNING - This document contains technical data whose export is restricted by the Arms Export Control Act (Title 22, U.S.C., Sec. 2751, et. seq.) or the Export Administration of 1979, as amended, Title 50 U.S.C., App. 2401 et seq. Violations of these export laws are subject to severe criminal penalties. Disseminate in accordance with provisions of DoD Directive 5230.25.

## Reason(s) for Restriction

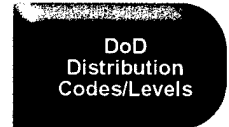
### Introduction

There must be a clear reason(s) for restricting the distribution of technical content. Always select the reason(s) for restriction based on why release beyond the designated audience could be damaging to national, proprietary, or other critical interests.

When considering the reason(s) for restriction, you should select all that apply to the technical document you are marking. More than one reason may be used in the same DoD Distribution Statement, as needed.

The reason(s) for restriction should be identified before designating the audience to which the document is restricted.

The chart below lists all the reasons for restriction authorized by DoDD 5230.24.



Reasons for Designating Audiences* for Secondary Distribution	DoD Distribution Statement Codes/Levels						
	A	C	D	B	E	X	F
<b>APPROVED FOR PUBLIC RELEASE:</b> <i>The information is approved for public release and does not contain controlled data.</i>	A						
<b>FOREIGN GOVERNMENT INFORMATION:</b> <i>The foreign government information furnished to the department of defense is restricted in its distribution to:</i>							
DoD components only.					✓		
U.S. Government Agencies only.			✓				
DoD and U.S. DoD contractors only.		✓					
U.S. Government Agencies and their contractors.	✓						
Recipients as directed by the DoD Controlling Office or higher DoD authority.							✓
<b>PROPRIETARY INFORMATION:</b> <i>The information is (1) owned by a non-government entity and (2) protected by a contractor's Limited Rights Statement (LRS) or other agreement. Therefore, dissemination is restricted to:</i>							
DoD components only.					✓		
U.S. Government Agencies only.			✓				

Reasons for Designating Audiences* for Secondary Distribution	DoD Distribution Statement Codes/Levels					
	C	D	B	E	X	F
Recipients as directed by the DoD Controlling Office or higher DoD authority.						✓
<b>TEST AND EVALUATION:</b> <i>The information results from testing and evaluation of commercial products or military hardware produced by a nongovernmental entity.</i>  Routine dissemination of such results outside DoD could result in unfair advantage to the manufacturer or producer.				✓		
Routine dissemination of such results outside the U.S. Government could result in unfair advantage to the manufacturer or producer.			✓			
Recipients as directed by the DoD Controlling Office or higher DoD authority.						✓
<b>CONTRACTOR PERFORMANCE EVALUATION:</b> <i>The information derives from the management review of a program, contractor, performance records, or other advisory documents evaluating a contractor program.</i>  Routine dissemination of such results outside DoD could result in unfair advantage to the contractor.				✓		
Routine dissemination of such results outside the U.S. Government could result in unfair advantage to the contractor.			✓			
Recipients as directed by the DoD Controlling Office or higher DoD authority.						✓
<b>CRITICAL TECHNOLOGY:</b> <i>The technology or information is on the Munitions List or the Commodity Control List, and release of the technology or information to other than the designated group (identified below) will have a negative impact on U.S. military activities or help potential adversaries overcome military deficiencies.</i>  DoD components only.				✓		
U.S. Government Agencies only.			✓			
DoD and U.S. DoD contractors only, but only if the contractors are registered with DoD to receive export-controlled data.		✓				
U.S. Government Agencies and their contractors, but only if the contractors are registered with DoD to receive export-controlled data.	✓					
Agencies, individuals, and enterprises authorized to receive export-controlled data.					✓	
Recipients as directed by the DoD Controlling Office or higher DoD authority.						✓

Reasons for Designating Audiences* for Secondary Distribution	DoD Distribution Statement Codes/Levels					
	C	D	B	E	X	F
<b>PREMATURE DISSEMINATION:</b> <i>The information relates to patentable military systems or processes in the development stage, and</i>  Disclosure at this time, except at the discretion of the Controlling Office, would compromise DoD's interest in protecting a patentable technology.						✓
Disclosure at this time, except to U. S. Government Agencies only, would compromise DoD's interest in protecting a patentable technology.			✓			
Disclosure at this time, except to DoD components only, would compromise DoD's interest in protecting a patentable technology.				✓		
Recipients as directed by the DoD Controlling Office or higher DoD authority.						✓
<b>SOFTWARE DOCUMENTATION:</b> <i>Software documentation shall be distributed according to the terms of the software license, which may restrict distribution to:</i>  DoD components only.				✓		
U.S. Government Agencies only.			✓			
DoD and U.S. DoD contractors only.		✓				
U.S. Government Agencies and their contractors.	✓					
Recipients as directed by the DoD Controlling Office or higher DoD authority.						✓
<b>ADMINISTRATIVE/OPERATIONAL USE:</b> <i>This information describes administrative procedures or operations with technical content (such as equipment maintenance or weapons operations manuals). Such information may be unclassified but is considered sensitive information and its distribution should be limited to entities that need it for Government purposes or to conduct official business for DoD.</i>  DoD components only.				✓		
U.S. Government Agencies only.			✓			
DoD and U.S. DoD contractors only.		✓				
U.S. Government Agencies and their contractors.	✓					
Recipients as directed by the DoD Controlling Office or higher DoD authority.						✓
<b>SPECIFIC AUTHORITY:</b> <i>The specific authority (Executive Order, statutes such as Atomic Energy or Stevenson-Wylder acts, Federal regulation, etc.) governing this information restricts its distribution to:</i>  DoD components only.				✓		
U.S. Government Agencies only.			✓			

DoD  
Distribution  
Codes/Levels

Reasons for Designating Audiences* for Secondary Distribution	DoD Distribution Statement Codes/Levels					
	C	D	B	E	X	F
DoD and U.S. DoD contractors only.		✓				
U.S. Government Agencies and their contractors.	✓					
Recipients as directed by the DoD Controlling Office or higher DoD authority.						✓
<b>DIRECT MILITARY SUPPORT:</b> <i>The technical data is export-controlled and of such military significance to another country or to a joint U.S.-foreign program that its release for other than direct support of DoD activities potentially jeopardizes an important military advantage of the U.S. Release can be made to:</i>						
Anyone permitted access to unclassified export-controlled data for foreign military sales.					✓	
DoD components only.				✓		
Recipients as directed by the DoD Controlling Office or higher DoD authority.						✓

\* Audience is the group of persons approved to receive a document.

### Marking Multi-Part Documents

Not all technical documents or data sets should have a single audience for secondary distribution. A document, such as a conference proceedings, may have parts whose secondary distribution can be quite wide and other parts that need to be more restricted.

An appropriate DoD Distribution Statement can be assigned to each part of the document, based on the reason(s) for its restriction, thereby enabling the individual parts to be separately disseminated. At the same time, the entire multi-part document should have a DoD Distribution Statement that reflects the most restricted distribution audience of any of the separate parts. The overall statement should include the reason(s) used in the various parts.

See section on Placement of DoD Distribution Statements.



# FOIA and Privacy Act

## FOIA

The Freedom of Information Act (FOIA) is the chief Federal law on openness in government. FOIA gives “any person,” U.S. citizen or not, access to federal records *except* when all or part of a record is exempt from disclosure under one or more of FOIA’s nine exemptions.

DoD’s policy is to make the maximum amount of information concerning its operations and activities available to the public. DoD policies and procedures for FOIA requests are described in:

- DoD Directive 5400.7, *Freedom of Information Act Program*
- DoD Regulation 5400.7-R, *Freedom of Information Act Program*

## FOIA Exemption Categories

FOIA’s nine exemptions permit DoD to withhold certain kinds of information from release. These exemptions are usually referred to by their paragraph numbers in the FOIA section of the U.S. Code: (b)(1) through (b)(9) of 5 U.S.C. 552.

The first exemption is for classified information. The other eight exemptions address unclassified information and are described in the following table:



What Are the FOIA Exemptions?	
Number	Type of Information Exempted from Disclosure under FOIA
(b) 1	Information properly and currently classified in the interest of national defense or foreign policy, as specifically authorized under the criteria established by Executive Order and implemented by regulations, such as DoD 5200.1-R, “Information Security Program.” There is <b>no discretion</b> regarding the release of classified information.
(b) 2	<p>Information pertaining solely to the internal personnel rules and practices of the Department of Defense. This exemption is entirely discretionary. This exemption has two profiles—“high” and “low.”</p> <p><b>High:</b> The “high” profile permits withholding of documents such as manuals, directives, instructions, and unclassified portions of security classification guides, which, if released, would allow circumvention of a rule, policy, or statute, thereby impeding the agency in the conduct of its mission. Examples include:</p> <ul style="list-style-type: none"> <li>• Operating rules, guidelines, and manuals that are used by DoD investigators, inspectors, auditors, and examiners and must remain privileged for legal reasons.</li> <li>• Personnel and other administrative matters, including questions and answers used in training courses or in the determination of qualifications of candidates for employment, advancement, or promotion; credit card numbers; e-mail address lists (not individual e-mails).</li> <li>• Computer software, which, if released, would allow circumvention of a statute or DoD rules, regulations, orders, manuals, directives, or instructions; computer systems structure.</li> </ul>



	<p><b>Low:</b> The “low” profile permits withholding if there is no public interest in the document, and it would be an administrative burden to process the request. This applies to records that are of a “housekeeping” nature such as regulations on parking, sick leave, or hours of work. DoD 5400.7-R states that DoD shall not use the low profile. Examples include:</p> <ul style="list-style-type: none"> <li>• Rules for personnel’s use of parking facilities or regulation of lunch hours; statement of policy for sick leave.</li> <li>• Administrative data such as file numbers, mail routing stamps, initials, data processing notations, and references to previous communications.</li> </ul>
(b) 3	<p>Information specifically exempted by statute or where the statute establishes particular criteria for withholding. The language of the statute must clearly state that the information will not be disclosed; therefore, there is <b>no discretion</b>. Examples of such statutes are:</p> <ul style="list-style-type: none"> <li>• Patent Secrecy, 35 U.S.C. 181-188: records containing information on inventions subject of patent applications on which Patent Secrecy Orders have been issued.</li> <li>• Protection of Contractor Submitted Proposals, 10 U.S.C. 2305(g).</li> <li>• Procurement Integrity, 41 U.S.C. 423.</li> <li>• Restricted Data and Formerly Restricted Data, 42 U.S.C. 2162 (Atomic Energy Act of 1954, as amended).</li> <li>• Communication Intelligence, 18 U.S.C. 798.</li> <li>• Authority to Withhold from Public Disclosure Certain Technical Data, 10 U.S.C. 130 and DoDD 5230.25.</li> <li>• Confidentiality of Medical Quality Assurance Records: Qualified Immunity for Participants, 10 U.S.C. 1102(f).</li> <li>• Physical Protection of Special Nuclear Material: Limitation on Dissemination of Unclassified Information, 10 U.S.C. 128.</li> <li>• Debriefing of Returning Missing Persons, 10 U.S.C. 1506(f).</li> <li>• Protection of Intelligence Sources and Methods, 50 U.S.C. 403-3 (c)(6).</li> <li>• Organizational and Personnel Information for DIA, NRO, and NIMA: unclassified “Foreign Government Information” that a foreign government determines not releasable to the public, 10 U.S.C. 424.</li> </ul> <p>Defense Authorization Act, FY2002: authority to withhold personal identifying information regarding personnel in overseas, sensitive, or routinely deployable units, 10 U.S.C. 130(b).</p>
(b) 4	<p>Information such as trade secrets or commercial or financial information received from a person or organization outside the Government on a privileged or confidential basis when disclosure of the information is likely to cause competitive harm to the company, impair the Government’s ability to obtain necessary information in the future, or impair some other legitimate Government interest.</p> <p>If information qualifies as Exemption 4, there is <b>no discretion</b> in its release. Examples include:</p> <ul style="list-style-type: none"> <li>• Commercial or financial information received in confidence in connection with loans, bids, contracts, or proposals, as well as trade secrets, inventions, discoveries, or other proprietary data. (Information may be withheld under Exemption 3 if 10 U.S.C. 2305(g) and 41 U.S.C. 423 conditions are met.)</li> </ul>

	<ul style="list-style-type: none"> <li>• Statistical data and commercial or financial information concerning contract performance, income, profits, losses, and expenditures.</li> <li>• Confidential personal statements given in the course of inspections, investigations, or audits when these reveal trade secrets or commercial or financial information considered confidential or privileged.</li> <li>• Financial data provided in confidence by a private employer in connection with locality wage surveys used to fix and adjust pay schedules applicable to prevailing wage rates of DoD employees.</li> <li>• Scientific and manufacturing processes or developments concerning technical data submitted with the application for a research grant or with a report while research is in progress.</li> <li>• Technical or scientific data developed by a contractor or subcontractor at private expense, or in part with federal funds, when the contractor or subcontractor has retained legitimate proprietary interests in the data in accordance with 10 U.S.C. 2320-2321 and DoD DFARS, Chapter 2 of 48 CFR Subpart 227.71 - 227.72. (Technical data developed using federal funds may be withheld under Exemption 3 if it meets 10 U.S.C. 130 and DoDD 5230.25.)</li> <li>• Computer software copyrighted under the Copyright Act of 1976 (17 U.S.C. 106), disclosure of which would have adverse impact on market value of copyrighted work.</li> <li>• Proprietary information submitted on a voluntary basis. (See DoD 5400.7-R, Chapter 5, Subsections 5.2.8.2 and 5.2.8.3 for guidance concerning data submitted under criteria prescribed in executive orders, statutes, regulations, invitations for bid, etc.)</li> </ul>
(b) 5	<p>Inter- and intra-agency memoranda or other internal documents that are both deliberative in nature—containing subjective evaluations, opinions, internal advice, and recommendations—and are also part of a decision-making process.</p> <p>This exemption concerns documents that would normally be considered “privileged” or protected from release during the discovery process of a civil lawsuit when litigants obtain information from one another. Consult with legal counsel to determine whether the record in question would routinely be made available through discovery. This type of information is in contrast to factual matters that may be the basis on which an evaluation or advice is provided. Such facts may also be withheld if they are not severable or if protected by other exemptions.</p> <p>Exemption 5 is entirely discretionary. Examples of documents that would ordinarily be exempt under it include:</p> <ul style="list-style-type: none"> <li>• Portions of staff papers and reports that contain such nonfactual material as opinions, advice, recommendations, or evaluations developed by DoD staff, contractors, or consultants or by bodies such as task forces, commissions, and panels.</li> <li>• Portions of official reports from inspections, audits, or investigations of safety, security, or management operations of DoD components when those records have historically been treated by the courts as privileged against disclosure in the discovery process.</li> <li>• Information pertaining to attorney work product, or attorney-client privilege.</li> </ul>

	<ul style="list-style-type: none"> <li>• Planning, program, and budgetary information being used in the defense planning and resource allocation process.</li> <li>• Proposed plans to procure, lease, otherwise acquire or dispose of material, real estate, facilities, or functions or other speculative and tentative information that, if released, would give unfair competitive advantage to private interests or would impede government functions.</li> <li>• Trade secrets or other confidential R&amp;D or commercial information owned by the Government when premature release would affect the Government's commercial interests or ability to negotiate.</li> </ul>
(b) 6	<p>Personal information contained in a Privacy Act system of records (including personnel and medical files) that, if disclosed to a requester other than the person whom the information is about, would result in a clearly unwarranted invasion of personal privacy and could subject the releaser to civil and criminal penalties. The information must be identifiable to a specific individual and not freely available from sources other than the Federal Government (thus requiring FOIA action by third party requester).</p> <p>If information qualifies as subject to Exemption 6, there is <b>no discretion</b> in its release. Some examples of personal information are:</p> <ul style="list-style-type: none"> <li>• Personnel and medical files.</li> <li>• Files compiled to evaluate or adjudicate suitability of candidates for civilian employment or membership in the Armed Forces, or eligibility of individuals for security clearances or access to particularly sensitive information; names of references, prior employment unrelated to employee's occupation.</li> <li>• Reports and records pertaining to personnel matters in which administrative action, including disciplinary, may be taken; types of leave and reasons for leave; character of military discharge; promotion recommendations.</li> <li>• Home addresses, telephone numbers, private e-mail, and military quarters' addresses, without the individual's consent for release.</li> <li>• Names, rank, and duty addresses, official titles, and pay information of military and civilian personnel assigned to units that are sensitive, routinely deployable, or stationed in foreign territories (can be an invasion of privacy; information may also be withheld under Exemption 3).</li> </ul> <p>Information that would be a clearly unwarranted invasion of the privacy of third parties (such as family members) identified in a personnel, medical, or similar record.</p>
(b) 7	<p>Records or information compiled for law enforcement purposes; i.e., civil, criminal, or military law, including the implementation of Executive Orders or regulations issued pursuant to law. This exemption is the law enforcement counterpart to Exemption 6 and is discretionary with the exceptions of 5 U.S.C. Section 552(b)(7)(C) and (F). Exemption 7 applies when compilation of records or information for law enforcement could result in the following:</p> <p>(A) Could reasonably be expected to interfere with enforcement proceedings.</p>

	<p>(B) Would deprive a person of the right to a fair trial or impartial adjudication.</p> <p>(C) Could reasonably be expected to constitute an unwarranted invasion of personal privacy of a living person or surviving family members of the person identified in the record. <b>(no discretion)</b></p> <p>(D) Disclose the identity of a confidential source or information furnished from a confidential source and obtained by a criminal law enforcement authority or by an agency conducting a national security intelligence investigation.</p> <p>(E) Disclose investigative techniques and procedures for law enforcement investigations or prosecutions if such disclosure could reasonably be expected to risk circumvention of the law.</p> <p>(F) Could reasonably be expected to endanger the life or physical safety of any individual. <b>(no discretion)</b></p> <p>Examples of Exemption 7 information are:</p> <ul style="list-style-type: none"> <li>• Statements of witnesses and other material developed during an investigation.</li> <li>• Materials prepared for litigation or adjudicative proceedings.</li> <li>• Identity of firms or individuals being investigated for alleged irregularities involving contracting with the DoD in absence of prior indictment or civil action filed against them by the U.S. Government.</li> <li>• Information obtained in confidence in the course of a criminal investigation or national security intelligence investigation by a law enforcement agency or office within a DoD component.</li> </ul>
(b) 8	<p>Certain records related to the examination, operation, or condition reports prepared by, on behalf of, or for use by an agency for regulation or supervision of financial institutions.</p>
(b) 9	<p>Geological and geophysical information and data (including maps) concerning wells.</p>

## Privacy Act

The Privacy Act also restricts the release of federal records that (1) contain personal information about U.S. citizens or permanently admitted aliens, and (2) are maintained in a Privacy Act system of records. Privacy Act records include such files as medical, employment, and credit histories and college transcripts.

Unless a proposed release falls within a legal exception, the Privacy Act prohibits disclosure of these records without the prior written consent of the individual. There are criminal penalties for knowing and willful disclosure of records in violation of the Privacy Act.

For more information on the Privacy Act and related DoD policies and procedures, see:

- DoD Directive 5400.11, *DoD Privacy Program*
- DoD Regulation 5400.11-R, *DoD Privacy Program*

Remember that the Privacy Act pertains only to records the federal government keeps on certain individuals (citizens and permanently admitted aliens) while FOIA covers all federal records.

It is also important to distinguish federal records from other materials. Reference books, copies of openly published articles, and similar documents and files in DoD's possession may be defined as "nonrecords." Neither FOIA nor the Privacy Act apply to these materials. Before disclosing personal information, validate the identity of the requester to ensure there is a need to know. Use a Privacy Act cover sheet or similar protective cover when disseminating hard copy.

Erase electronic copies of records that contain personal information unless they can be stored properly. Dispose of hard copy in a way that prevents "inadvertent compromise. Disposal methods such as tearing, burning, melting, chemical decomposition, pulping, pulverizing, shredding, or mutilation are considered adequate if the personal data is rendered unrecognizable or beyond reconstruction" (Paragraph C1.4.3.1. of DoD Regulation 5400.11-R).

For guidance, see DoD Regulation 5400.11-R, or call your local Privacy Act manager.

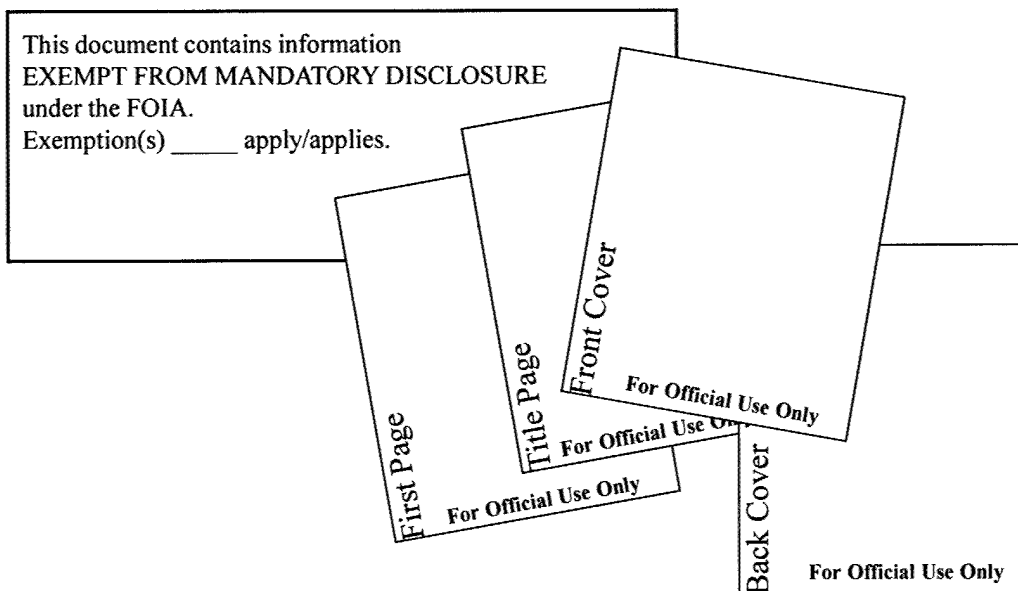
### Marking FOIA/FOUO

Unclassified information that would result in harm if disclosed and meets the FOIA exemption criteria must be marked "For Official Use Only" or FOUO. Personal information protected by the Privacy Act must also be marked FOUO. Documents are marked "For Official Use Only" at the bottom of the front cover, the title page, the first page, and outside of the back cover.

Internal pages that contain FOUO information are marked "For Official Use Only" at the bottom.

Transmittals that have FOUO attachments (and no classified attachments) are marked "For Official Use Only Attachment."

If FOUO documents and material are transmitted outside the Department of Defense, they must have an expanded marking on the face so that non-DoD holders understand the status of the information. A statement similar to this one should be used:



DoD technical documents must be marked with a DoD Distribution Statement; therefore, you do not need to add a FOUO marking to the information. All DoD Distribution Statements except for "A" are a type of FOUO marking.


FOUO should be used to protect information from disclosure when its release would harm DoD or harm other organizations and individuals. Business proprietary financial data, code for export-controlled software, employee medical records, and foreign government documents are examples of information DoD receives with either an implicit or an explicit agreement that the information will be protected from disclosure.

FOUO must not be used as a form of classification marking to protect a national security interest. Marking FOUO in classified documents is covered in the section on Overall Classification and Portion Marking.

FOUO information may be disseminated within DoD and between DoD and contractors as necessary to conduct official business. It may also be released to other government officials.

For information on the release of FOUO to Congress or the General Accounting Office, see:

- DoD Directive 5400.4, *Provision of Information to Congress*
- DoD Directive 7650.1, *General Accounting Office (GAO) and Comptroller General Access to Records*

	<p>"CLASSIFICATION" OF THIS DOCUMENT IS FOR EXAMPLE PURPOSES ONLY</p>
<p>OFFICE OF THE SECRETARY OF DEFENSE Washington, D.C.</p>	
<p>October 25, 2001</p>	
<p>Ms. Jane M. Doe Office of Safeguards and Security U.S. Department of Energy 19901 Germantown Rd Germantown, MD 20874</p>	
<p>Dear Ms. Doe:</p>	
<p>Marking records at the time of creation gives notice of FOUO content and facilitates review when a record is requested under the FOIA. Records requested under the FOIA that do not carry such markings are <i>not assumed to be releasable</i>. The information must be reviewed first to see whether it would require continued protection.</p>	
<p>Until July 18, 1949, FOUO was widely applied to all kinds of unclassified but sensitive government information not intended for public release. From then until October 23, 1951, it was a fourth classification level below Confidential. FOUO is similar to the Restricted level still used by many other countries. As a result, any FOUO-marked documents predating October 23, 1951, should be reviewed by an authorized derivative classifier prior to release to ensure they are not actually classified.</p>	
<p>If FOUO documents and material are transmitted outside the Department of Defense, a statement must be applied to the face of the document that includes the exemption number(s). Additionally, the document face, title page, if any, outside back cover, and each interior page containing FOUO information should be marked "For Official Use Only" at the bottom of the page in letters clearly distinguishable from the text.</p>	
<p>Sincerely,</p>	
<p>Joseph W. Smith</p>	
<p>Enclosure FOUO Report, dated _____, subj. _____</p>	
<p>This document contains information EXEMPT FROM MANDATORY DISCLOSURE under the FOIA. Exemption (b)5 applies.</p>	
<p>FOR OFFICIAL USE ONLY</p>	

See EXAMPLE at end of this section.

FOIA and  
Privacy Act

## Example

"CLASSIFICATION" OF THIS  
DOCUMENT IS FOR  
EXAMPLE PURPOSES ONLY



**OFFICE OF THE SECRETARY OF DEFENSE**  
Washington, D.C.

October 25, 2001

Ms. Jane M. Doe  
Office of Safeguards and Security  
U.S. Department of Energy  
19901 Germantown Rd  
Germantown, MD 20874

Dear Ms. Doe:

Marking records at the time of creation gives notice of FOUO content and facilitates review when a record is requested under the FOIA. Records requested under the FOIA that do not carry such markings are *not assumed to be releasable*. The information must be reviewed first to see whether it would require continued protection.

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If FOUO documents and material are transmitted outside the Department of Defense, a statement must be applied to the face of the document that includes the exemption number(s). Additionally, the document face, title page, if any, outside back cover, and each interior page containing FOUO information should be marked "For Official Use Only" at the bottom of the page in letters clearly distinguishable from the text.

Sincerely,

Joseph W. Smith

Enclosure  
FOUO Report, dated \_\_\_\_\_, subj. \_\_\_\_\_

**This document contains information  
EXEMPT FROM MANDATORY DISCLOSURE  
under the FOIA. Exemption (b)5 applies.**

FOR OFFICIAL USE ONLY

FOIA and  
Privacy Act

Marking DoD  
Classified Documents



# Marking DoD Classified Documents

## Overall Classification and Portion Marking

**Portion Markings:** Portion-mark segments of the document—typically a paragraph—using the letters (TS) for Top Secret, (S) for Secret, (C) for Confidential, and (U) for Unclassified. The markings are placed immediately preceding the portion following a number, letter, or bullet. If a Freedom of Information Act (FOIA) exemption applies to unclassified information, the portion should be marked For Official Use Only (FOUO). Mark titles/subjects at the end of title or subject.

**UNCLASSIFIED**

Title (U)

1. (U) This is paragraph 1 and contains unclassified information. Therefore, this portion will be marked with the designation "U" in parentheses.

2. (U) This is paragraph 2 and contains unclassified information. Therefore, this portion will be marked with the designation "U" in parentheses.

**UNCLASSIFIED**

**FOR OFFICIAL USE ONLY**

3. (U) This is paragraph 3 and contains unclassified information.

4. (FOUO) Paragraph 4 contains information exempt from public release under the FOIA. It is marked "FOUO" in parentheses.

5. (U) This is paragraph 5 and contains unclassified information.

**FOR OFFICIAL USE ONLY**

**SECRET**

6. (U) This is paragraph 6. It is an unclassified paragraph and is therefore marked with a "U." If this paragraph is used to create another document, the information taken from this paragraph would remain unclassified.

7. (S) This is paragraph 7 and contains "Secret" information. This portion will be marked with the designation "S" in parentheses. The overall classification of this page is marked "Secret" because this paragraph contains Secret information, which is the highest level of classification

**SECRET**

**SECRET**

(S) contained on the page. When a classified or unclassified paragraph is too long and must be carried over to another page, the classification **MUST** be carried forward as well.

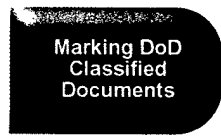
8. (U) This is paragraph 8 and contains only "Unclassified" information. This portion will be marked with the designation "U" in parentheses.

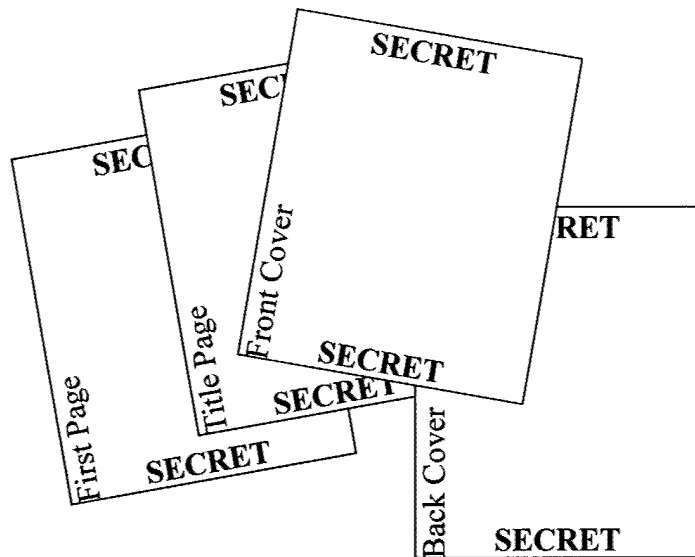
**SECRET**

When marking portions, you must include caveats or special handling notations (as applicable). See the section on Special Controls.

**Overall Classification:** Mark each internal page with the overall classification or with the highest level of information on that page.

Conspicuously mark the overall classification level at the top and bottom of the outside of the front cover, on the title page, on the first page of text, and on the outside of the back cover.





The following markings must be placed on classified documents:

- Originator identification (name and address)
- Date of document
- Classification level
- “Original” or “Derivative” classification information
- Portion markings
- Special markings/caveats

Technical documents will require additional markings, such as:

- DoD Distribution Statements
- Export Control Warning

## Marking “Originally Classified” Documents

This is an example of a document that is originally classified under E.O. 12958, Section 1.5. The essential markings are:


- Portion marking
- Overall classification
- “Classified by” line to include the identity, by name or personal identifier, and position of the original classifier
- “Reason” for classification
- “Declassify on” line, which indicates one of the following:
  - (1) The date or event for declassification not to exceed 10 years from the date of the original classification.
  - (2) The date that is 10 years from the date of the original classification.
  - (3) An exemption from the 10-Year-Rule (See E.O. 12958, Section 1.6(d)).

If the original classifier determines the information is exempt from declassification at 10 years, apply the letter “X” plus the name of the exemption category(ies), or the letter “X” plus the number that corresponds to that exemption category(ies).

Classified by: David Smith  
 Chief, Division 5  
 Office of Administration  
 Reason: 1.5(a) and (d)  
 Declassify on: ~~X~~ Damage Relations  
 or  
 Declassify on: X6

**SECRET**

"CLASSIFICATION" OF THIS DOCUMENT IS FOR EXAMPLE PURPOSES ONLY

 OFFICE OF THE SECRETARY OF DEFENSE  
 Washington, D.C.

31 October 2001

**MEMORANDUM FOR: DASD**

**SUBJECT:** Original Classification (U)

- (S) The original classification authority must be marked on the document. A "Classified by" line should include the name or personal identifier of the classifier and title or position. If the identification of the originating agency is not apparent on the face of the document, place it below the "Classified by" line.
- (U) Each original classification decision shall state a reason for classifying. Classification may be applied only to information described in categories specified in Section 1.5 of Executive Order 12958, "Classified National Security Information."

Classified by: John S. Doe, OASD (C3I)  
 Reason: Military Plans, Foreign Relations  
**OR**  
 Reason: 1.5 (a) and (d)  
 Declassify on: December 31, XXXX

**SECRET**

See EXAMPLE 1 at end of section.

## Classification Extensions

Sometimes it is necessary to *extend* the duration of the classification.

An original classification authority may extend the duration for successive periods; however, each period must not exceed 10 years at a time.


For records that are permanently valuable, multiple extensions must not exceed 25 years from the date of the information's origin. For example, if the classification duration of a document has been extended twice for 10 years each time, the duration can only be extended for 5 more years, or the document could be re-reviewed.

In marking a classification extension, revise the "Declassify on" line to include the new declassification instructions, the identity of the person authorizing the extension, and the date of the action. You should make reasonable attempts to notify all holders of the information of a classification extension.

Here is an example of a properly marked classification extension.

**SECRET**

"CLASSIFICATION" OF THIS DOCUMENT IS FOR EXAMPLE PURPOSES ONLY

 OFFICE OF THE SECRETARY OF DEFENSE  
 Washington, D.C.

31 December 2001

**MEMORANDUM FOR: DASD (I&S)**

**SUBJECT:** Classification Extensions (U)

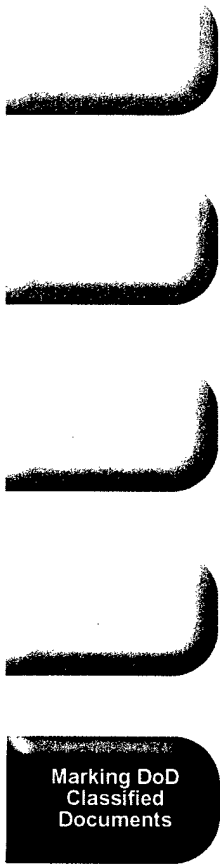
- (U) An original classification authority may extend the duration of classification by following standards and procedures for classifying information.
- (S) Revise the "Declassify on" line to include the new declassification instructions, and the identity of the person authorizing the extension and the date of the action.
- (U) Reasonable attempts should be made to notify all holders of a classification extension.

Classified by: John S. Doe  
 OASD (C3I)  
 Reason: 1.5 (a) and (d)  
 Declassify on: December 31, XXXX

Classification extended on  
 Dec. 31, XXXX until Dec. 1, 2010  
 by Donald H. Rumsfeld,  
 SECDEF

**SECRET**

See EXAMPLE 2 at end of section.




Marking DoD  
 Classified  
 Documents

## Classification by Compilation

Certain items of information that are individually unclassified may become classified if the compiled information reveals an additional association or relationship that meets the standards for classification.

If individual portions are classified at one level, but the compilation is a higher classification, mark each portion with its own classification, and mark the document and pages with the level of the compilation. An explanation of the classification by compilation is required either in the text or in the classifier information, as shown.

<b>CONFIDENTIAL</b>	
	<b>"CLASSIFICATION" OF THIS DOCUMENT IS FOR EXAMPLE PURPOSES ONLY</b>
<b>OFFICE OF THE SECRETARY OF DEFENSE</b> Washington, D.C.	
October 31, 2001	
<b>MEMORANDUM FOR: DASD (I&amp;S)</b>	
<b>SUBJECT: Classification by Compilation (U)</b>	
1. (U) When a document consisting of individually unclassified items of information classified by compilation, mark the overall classification conspicuously at the top and bottom of the face of the document, each internal page, and outside of the back cover or page. An explanation of the basis for classification by compilation must be placed on the face of the document or included in the text.	
2. (U) If portions, standing alone, are unclassified, but the document is classified by compilation or association, mark the portions "U" and the document and pages with the classification of the compilation. You must also add an explanation of the classification or the circumstances involved with association.	
3. (U) If individual portions are classified at one level, but the compilation is a higher classification, mark each portion with its own classification, and mark the document and pages with the classification of the compilation.	
4. (U) An explanation of the classification by compilation is required either in the document itself or in the classifier instruction (see below).	
John S. Doe Director	
<b>Attachment</b>	
<b>Classified by:</b>	OASD (C31)
<b>Reason:</b>	Compilation of unclassified training schedules for a specific contingency plan is CONFIDENTIAL Section 1.5(a)
<b>Declassify on:</b>	August 31, 2005
<b>CONFIDENTIAL</b>	

See **EXAMPLE 3** at end of section.

## Working Papers

Classified working papers generated in preparation of a finished document are (1) dated when created; (2) marked with overall classification and with the annotation, "WORKING PAPER," and (3) destroyed when no longer needed. Working papers are marked in the same manner as a finished document at the same classification level when: (1) transmitted outside the facility, or (2) retained for more than 180 days from creation. Any caveat or special marking must be applied on the first page of the document.

Destroy the drafts according to destruction procedures for classified material when they are no longer needed. Remember to destroy the electronic files for the drafts of computer-generated documents.

## Information Transmitted Electronically

Information transmitted electronically, and retained as permanent records, must be marked as any other classified document with the following special provisions:

1. The first item in the text must be the overall classification of the information.

2. For information printed by an automated system, overall classification and page markings may be applied by the system, provided they stand out conspicuously from the text. In older systems, this may be achieved by surrounding the markings with asterisks or other symbols.
3. Properly completed "Classified by" and "Reason" lines or "Derived from" line, declassification instructions, and downgrading instructions (when appropriate) must be included in the last line. Declassification and downgrading instructions shall not be used for information containing Restricted Data or Formerly Restricted Data.
4. The following abbreviations may be used:

- "CLASS" for "Classified by"
- "RSN" for Reason (only necessary for originally classified information)
- "DECL" for "Declassify by"
- "DERV" for "Derived from"
- "DNG" for "Downgrade to"

## Marking "Derivatively Classified" Documents

Derivative classification is a process of incorporating, paraphrasing, restating, or generating in new form information that is already classified, and marking the newly developed material consistent with the markings of the source information. The source information ordinarily consists of a classified document or documents, or a classification guide issued by an original classification authority.

### *Derivatively Classifying from a Source Document*

When using a classified source document as the basis for derivative classification, the markings on the source document determine the markings to be applied to the derivative document.

Here are a properly marked source document and a properly marked derivative document.

Marking DoD Classified Documents

<p><b>SECRET</b></p> <p>OFFICE OF ADMINISTRATION Washington, D.C.</p> <p style="text-align: right;">November 1, 2001</p> <p>MEMORANDUM FOR:</p> <p><b>FROM:</b> David Smith, Chief Division 5</p> <p><b>SUBJECT:</b> Funding Problems (U)</p> <p>1. (U) The information in this paragraph is unclassified. The portion is marked with a "U" in parentheses.</p> <p>2. (S) This paragraph contains "Secret" information and is marked with an "S" in parentheses.</p> <p>3. (C) This paragraph includes information that is "Confidential" and is marked with a "C" in parentheses.</p> <p>Classified by: David Smith, Chief, Division 5 Office of Administration Reason: 1.5(a) and (d) Declassify on: December 31, 2006</p> <p style="text-align: center;"><b>SECRET</b></p>	<p style="font-size: small;">"CLASSIFICATION" OF THIS DOCUMENT IS FOR EXAMPLE PURPOSES ONLY</p>
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See EXAMPLE 4 at end of section.

<p><b>SECRET</b></p> <p>OFFICE OF ADMINISTRATION Washington, D.C.</p> <p style="text-align: right;">December 3, 2001</p> <p>MEMORANDUM FOR:</p> <p><b>FROM:</b> Susan Goode, Director</p> <p><b>SUBJECT:</b> Recommendations for Resolving Funding Problems (U)</p> <p>1. (S) This paragraph contains "Secret" information taken from paragraph 2 of the source document. The portion is marked with an "S" in parentheses.</p> <p>2. (U) The information in this paragraph is unclassified. The portion is marked with a "U" in parentheses.</p> <p>3. (U) The information in this paragraph is unclassified. The portion is marked with a "U" in parentheses.</p> <p>Derived from: Memorandum dated 11/1/01 Subj: Funding Problems (U) Declassify on: December 31, 2006</p> <p style="text-align: center;"><b>SECRET</b></p>	<p style="font-size: small;">"CLASSIFICATION" OF THIS DOCUMENT IS FOR EXAMPLE PURPOSES ONLY</p>
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See EXAMPLE 5 at end of section.

## Derivatively Classifying from a Classification Guide

A classification guide is a document issued by an original classification authority that provides derivative classification instructions. It describes the elements of information that must be protected and the level and duration of classification.

CONFIDENTIAL

"CLASSIFICATION" OF THIS DOCUMENT IS FOR EXAMPLE PURPOSES ONLY



OFFICE OF THE SECRETARY OF DEFENSE  
Washington, D.C.

October 22, 2001

MEMORANDUM FOR: DASD (I&S)

SUBJECT: Derivatively Classifying from a Classification Guide (U)

(C) This paragraph includes information about technical scope.

(U) This paragraph includes information on program planning.

(U) This paragraph includes information on program progress.

CONFIDENTIAL

Classification Guide No. 128			
Subject	Classification Instructions		
	Level	Reason	Duration
1. Program Planning	U		
2. Program Planning	U		
3. Technical Scope of A.B.C.	C	1.5(a)	4/15/05
4. Vulnerability	S	1.5(g)	X3
5. Limitations	U		

Derived from: Scty Class Guide #128  
Dated: 11/1/95  
Declassify on: April 15, 2005

See EXAMPLE 6 at end of section.

## Multiple Sources

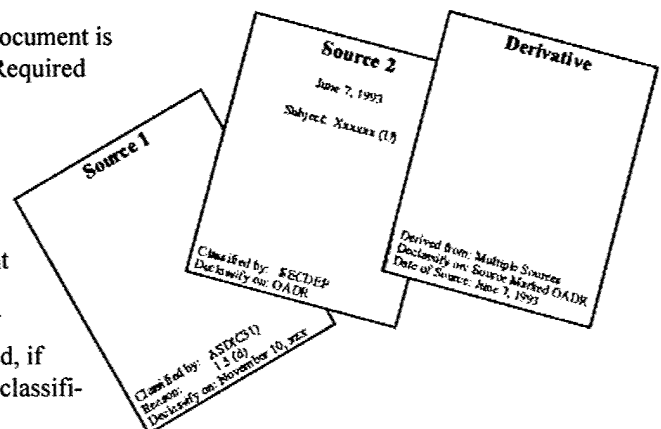
If the classification of a document was derived from more than one source, the words "Multiple Sources" may be used to complete the "Derived from" line. When multiple sources are used, the identification of each source shall be maintained with the record copy of the document.

Mark the "Declassify on" line with the declassification instruction from the source document that requires the longest period of classification.

When the "Declassify on" line of the source document is marked Originating Agency's Determination Required (OADR), mark the "Declassify on" line of the derivative document to indicate:

- a. The fact that the source document is marked "OADR"
- b. The date of origin of the source document

This marking will permit the determination of when classified information is 25 years old and, if permanently valuable, subject to automatic declassification under E.O. 12958, Section 3.4.



OADR applies to documents classified **before** October 14, 1995. For example purposes, the OADR document is the more restrictive of the two sources (requiring longer classification). For more information on multiple sources and OADR, see DoD 5200.1-R, Ch. 5, Section 2.

## Special Controls – SAP, Intel/DCID, FGI, RD/FRD

Special markings or caveats are placed on documents to identify special handling or dissemination requirements or to assist in describing the type of information and who distributed or originated the information.

### Special Access Program (SAP) Documents

#### *SAP Nicknames and Code Words*

SAPs use nicknames and code words for control of dissemination and “need-to-know.” Nicknames and code words are assigned to the program when the SAP is approved. Nicknames are designated by two unassociated words, which are unclassified by themselves (e.g., TWISTED FEATHER). A code word is a single word with a classified meaning.


All marking provisions previously described apply to SAPs. Additional markings include: the use of special distribution notices such as “Special Access Required” (SAR), and/or an assigned program nickname(s) or code word(s). To differentiate a nickname from a code word, remember that:

- A nickname is a combination of two unassociated and unclassified words.
- Nicknames are normally typed in ALL CAPS.
- A code word is a single word assigned a classified meaning by appropriate authority.
- The code word is classified Confidential or higher.
- All nicknames and code words are issued through the DoD components (usually SAP channels) and strictly controlled.

A SAP digraph or trigraph is a two or three letter designator given to each SAP. In this example, “TF” represents the nickname “TWISTED FEATHER.”

This example shows common markings for a SAP document. Highest classification and program nickname are conspicuously placed at the top and bottom. Portion markings in SAP documents should show the highest classification within the paragraph followed by the SAP digraph.

See DoD 5200.1-PH and the *SAP Security Procedure Guide* for additional instructions.

	TOP SECRET/TWISTED FEATHER (U)
	"CLASSIFICATION" OF THIS DOCUMENT IS FOR EXAMPLE PURPOSES ONLY
OFFICE OF THE SECRETARY OF DEFENSE Washington, D.C.	
October 1, 2001	
MEMORANDUM FOR: SPECIAL ACCESS PROGRAM CENTRAL OFFICES	
SUBJECT: Identification and Marking of SAP Documents (U)	
1. (U) This paragraph contains "Unclassified" information.	
2. (C) This paragraph contains non-SAP national security information.	
3. (TS/TF) This paragraph contains TOP SECRET information related to the special access program TWISTED FEATHER (U). The portion marking includes a digraph of the unclassified nickname following classification level.	
John S. Doe Director, Special Programs	
Classified by: TF Program Manager	
Reason: 1.5(a) and (d)	
Declassify on: December 31, 2004	
TOP SECRET/TWISTED FEATHER (U)	

See EXAMPLE 7 at end of section.

Marking DoD  
Classified  
Documents

## Intelligence Information/DCID 6/6


Additional security controls and markings are established for intelligence information. The Director of Central Intelligence Directive (DCID) 6/6, "Security Controls on the Dissemination of Intelligence Information," establishes policies, controls and procedures for the dissemination and use of intelligence information and applies to classifiers of intelligence information. DCID 6/6, dated July 11, 2001, was administratively updated on June 6, 2003. The entire document is classified SECRET/NOFORN/X1 because of the attachments. The bulk of the individual pages are marked UNCLASSIFIED/FOUO. A statement on the first page reads, "Downgrade to UNCLASSIFIED/FOUO when separated from classified attachment."

A NOFORN marking indicates "Not Releasable to Foreign Nationals." The information contained in the document may not be provided in any form to foreign governments, international organizations, coalition partners, foreign nationals, or immigrant aliens without originator approval. NOFORN is an intelligence community marking.

An ORCON marking indicates "Dissemination and Extraction of Information Controlled by Originator." Reproduction, extraction of information, or redistribution of such documents require the permission of the originator. ORCON is an intelligence community marking.

Conspicuously mark top and bottom of document with abbreviated caveats following the classification level, as shown in the example.

Marking DoD  
Classified  
Documents

	<b>SECRET/NF/OC</b>	<small>"CLASSIFICATION" OF THIS DOCUMENT IS FOR EXAMPLE PURPOSES ONLY</small>
OFFICE OF THE SECRETARY OF DEFENSE Washington, D.C.		
March 6, 2002		
MEMORANDUM FOR: DIRECTOR, OFFICE OF ADMINISTRATION		
SUBJECT: Secret Document Containing Intelligence Information (U)		
1. (U) This paragraph contains unclassified information; therefore, it is marked with the designation "U" in parentheses.		
2. (U) This paragraph is unclassified.		
3. (C) This is paragraph contains "Confidential" information; therefore, it is marked with the designation "C" in parentheses.		
4. (S-NF) "Not Releasable To Foreign Nationals" (NOFORN) marking indicates that the information contained in the document may <i>not</i> be provided in any form to foreign governments, international organizations, coalition partners, foreign nationals, or immigrant aliens without originator approval. NOFORN is an intelligence community marking. See DCID 6/6 for additional guidance.		
5. (C-OC) "Dissemination and Extraction of Information Controlled by Originator" (ORCON) marking indicates that the document bearing the marking is controlled by the originator. Reproduction, extraction of information, or redistribution of such documents requires permission of the originator. ORCON is an intelligence community marking.		
John T. Jones Director		
Derived from: Multiple Sources Declassify on: September 30, 2008		
<b>SECRET/NF/OC</b>		

See EXAMPLE 8 at end of section.

## Foreign Government Information (FGI)

The U.S. Government gives protection to information provided by foreign governments. Care must be taken in identifying the source of the information.




Mark the portions that contain the foreign government information to indicate the country of origin and the classification level. Substitute the words "Foreign Government Information" or "FGI" where the identity of the specific government must be concealed. The identity of the concealed foreign source in this example is maintained with the record copy and adequately protected.

Mark documents containing classified foreign government information with:  
**"This document contains (country of origin) Information."**

Routine correspondence, such as this memorandum, does not require this statement.

UK/SECRET



**"CLASSIFICATION" OF THIS DOCUMENT IS FOR EXAMPLE PURPOSES ONLY**

OFFICE OF THE SECRETARY OF DEFENSE  
Washington, D.C.

February 21, 2002

MEMORANDUM FOR: DEPSECDEF

SUBJECT: Foreign Government Information (U)

1. (U) The U.S. Government gives protection to information provided by foreign governments. Care must be taken to identify the source of the information.

2. (FGI-C) Mark portions that contain foreign government information to indicate the classification level and country of origin of the information. Substitute the words "Foreign Government Information" or "FGI" where the identity of the specific government must be concealed. The identity of the concealed foreign source in this example must be maintained with the record copy and adequately protected. [When the identity of the country must be concealed, substitute "Foreign Government Information (FGI)" for the name of the specific country and note the country in the record copy of the document.]

3. (UK-S) Mark portions that contain the foreign government information to indicate the classification level and country of origin of the information. The "Derived from" line should cite title of the document provided. Declassification date, event, or exemption category is carried forward, if known.

John S. Doe  
Director

Derived from: FGI Source Document, dated \_\_\_\_\_  
UK Source Document, August 23, 2001  
Declassify on: X5, FGI

UK/SECRET

See EXAMPLE 9 at end of section.

## Atomic Energy Act Information

### *Restricted Data/Formerly Restricted Data Documents Containing Critical Nuclear Weapon Design Information (CNWDI)*

E.O. 12958 does not apply to Restricted Data (RD) or Formerly Restricted Data (FRD). This example shows how to integrate RD and FRD into a DoD-generated document. The Department of Defense does not originate RD or FRD; therefore, documents should reflect only a "Derived from" byline. This example shows a Joint DoD and DOE classification guide published by the Department of Energy (DOE).

Mark classification level and category at the top and bottom of document. Also, mark a warning notice for RD or FRD at lower right. RD is the more restrictive (highest).

If the document contains CNWDI material, this must be clearly marked, "Critical Nuclear Weapon Design Information-DoD Directive 5210.2 applies." At a minimum, CNWDI documents shall show such markings on the cover or first page. An (N) following the classification denotes that the classified material is additionally identified as CNWDI; for example, TS(RD)(N) or TS(RD)(CNWDI). Although portion marking is not required for RD and FRD, DoD's practice is to portion-mark Atomic Energy Act Information. For additional guidance, see your security officer.

Marking DoD Classified Documents



**SECRET**  
Restricted Data

"CLASSIFICATION" OF THIS DOCUMENT IS FOR EXAMPLE PURPOSES ONLY

OFFICE OF THE ASSISTANT SECRETARY OF DEFENSE  
Washington, D.C.

October 31, 2001

MEMORANDUM FOR: DEPSEC/DEF

SUBJECT: Atomic Energy Act of 1954 (U)

1. (S-RD) This paragraph contains Secret Restricted Data. Portions containing "Restricted Data" or "Formerly Restricted Data" as defined by the Atomic Energy Act of 1954 should be marked with classification level followed by the category marking (RD or FRD).

a. (S-FRD) This paragraph contains Secret Formerly Restricted Data only.

b. (S-RD)(N) This paragraph contains Secret Restricted Data and Critical Nuclear Weapon Design Information (CNWDI) or (N). Portion marking for this paragraph includes level and category of information, plus a "need to know" designation of (N).

2. (U) Special warning notices are applied at lower right on the face of the document to alert the user to the presence of RD and/or FRD. If a document contains both categories, only the more restrictive RD warning notice is affixed. The CNWDI notice is also included on the document face.

3. (U) There are no declassification instructions for RD and FRD information. Classifier information at lower left reflects a "Derived from" byline only.

Joseph W. Smith  
OASD(C31)

Attachment  
Derived from: CG-W-5, Oct. 16, 1995  
(identify the Classifier)

RESTRICTED DATA  
This document contains Restricted Data as defined in the Atomic Energy Act of 1954. Unauthorized disclosure is subject to administrative and criminal sanctions.

CNWDI  
Critical Nuclear Weapon Design Information - DoD Directive 5210.2 applies

Restricted Data  
**SECRET**

See EXAMPLE 10 at end of section.



**SECRET**  
Restricted Data

"CLASSIFICATION" OF THIS DOCUMENT IS FOR EXAMPLE PURPOSES ONLY

OFFICE OF THE SECRETARY OF DEFENSE  
Washington, D.C.

October 31, 2002

Marking RD or FRD Documents (U)

Critical Nuclear Weapon Design Information  
DoD Directive 5210.2 applies

Derived from: CG-W-5, Oct. 16, 1995  
(identify the Classifier)

RESTRICTED DATA  
This document contains Restricted Data as defined in the Atomic Energy Act of 1954, as amended. Unauthorized disclosure is subject to administrative and criminal sanctions.

Restricted Data  
**SECRET**

See EXAMPLE 11 at end of section.

Marking DoD  
Classified  
Documents

## Marking Letters of Transmittal

Conspicuously mark an unclassified transmittal document with the highest classification level of the information transmitted by it. Include instructions for handling when separated from classified enclosures, as shown here.



**SECRET**

"CLASSIFICATION" OF THIS DOCUMENT IS FOR EXAMPLE PURPOSES ONLY

OFFICE OF THE SECRETARY OF DEFENSE  
Washington, D.C.

March 27, 2002

MEMORANDUM FOR: DASD (I&S)

SUBJECT: Unclassified Letters of Transmittal

- Information in transmittal letters is marked on the basis of content. Frequently, unclassified transmittal letters have classified attachments. The overall marking on the transmittal letter must reflect the highest classification of its attachments.
- Conspicuously mark an unclassified transmittal document with the highest classification level of any information transmitted by it. Also mark the transmittal document with an instruction indicating that the letter becomes unclassified when separated from classified attachments or enclosures, as shown here.

Joseph W. Smith  
OASD (C31)

Attachments

- Secret C31 memo, dated November 27, 2001, subj. \_\_\_\_\_
- Memo dated \_\_\_\_\_, subj. \_\_\_\_\_

Unclassified when separated from classified enclosures

**SECRET**


See EXAMPLE 12 at end of section.

If the transmittal document itself contains classified information:

Conspicuously mark the top and bottom of the transmittal document with the highest classification level of any information contained in the document or its enclosures; include instructions for handling when separated from its enclosures, as shown here.

Unclassified attachment:

If a classified document contains an unclassified attachment (enclosure, annex, etc.), mark the attachment "UNCLASSIFIED" at the top and bottom of the first page and include a statement on the first page that reads "All portions of this (attachment, enclosure, appendix, annex, etc.) are Unclassified."



**SECRET**

OFFICE OF THE SECRETARY OF DEFENSE  
Washington, D.C.

October 31, 2001

"CLASSIFICATION" OF THIS DOCUMENT IS FOR EXAMPLE PURPOSES ONLY

**MEMORANDUM FOR: DEPSECDEF**

**SUBJECT:** Letters of Transmittal with Classified Information (U)

1. (U) If the transmittal document itself contains classified information, mark it as required for all other classified information, except:
  - a. (U) Conspicuously mark the top and bottom of the transmittal document with the highest classification level of any information contained in the transmittal document or its enclosures.
  - b. (C) Mark the transmittal document with an appropriate instruction indicating its overall classification level when separated from its enclosures as shown in this example.
2. (U) The "Derived from" line reflects the decision applied to the transmittal letter. Project XYZ requires the paragraph above to be Confidential.
3. (U) In this example, the Attachment is classified at the Secret level. Therefore, the overall classification of this particular transmittal letter is marked "SECRET."

Jane P. Brown  
OASD (C31)

Attachment  
Secret memo dtd \_\_\_\_\_, subj. \_\_\_\_\_

Derived from: Project XYZ  
Declassify on: December 31, 2006

Downgrade to Confidential when separated from Secret enclosure

**SECRET**

See EXAMPLE 13 at end of section.

## Marking "Other Than" Documents

Blueprints, engineering drawings, charts, maps, disks, CDs, and similar items must be conspicuously marked with an overall classification. The classification marking must be visible if an item is rolled or folded.

The example below shows a bar chart in a Secret document. Note the chart is portion-marked.

For "stand-alone" (single-page) documents, other basic markings apply. The media, chart, drawing or equipment, whatever form the information takes, must show the title, origination date, classification byline, declassification instructions, and portion markings. For DoD technical documents, appropriate distribution instructions are also required.

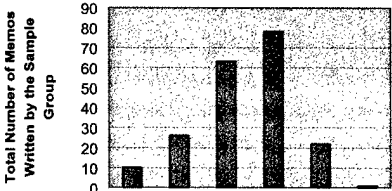
Slides and transparencies must have the overall classification and special control notices marked on the image area and also on the border, holder, or frame. Other required security markings are either placed on the item, lead slide, or included in accompanying documents.

Removable storage media include reels, diskettes, disk packs, CD-ROMs, optical disks, and magnetic cards.

**SECRET**

"CLASSIFICATION" OF THIS DOCUMENT IS FOR EXAMPLE PURPOSES ONLY

**Memo Output as a Function of Coffee Input: Data for a Representative Sample of DoD Employees during June 2001 (n = 200) (U)**



Employee Coffee Input (ml/day)	Total Number of Memos Written by the Sample Group
0-500	10
500-999	25
999-1499	65
1500-1999	80
2000-2499	20
>2500	10

**SECRET**

See EXAMPLE 14 at end of section.



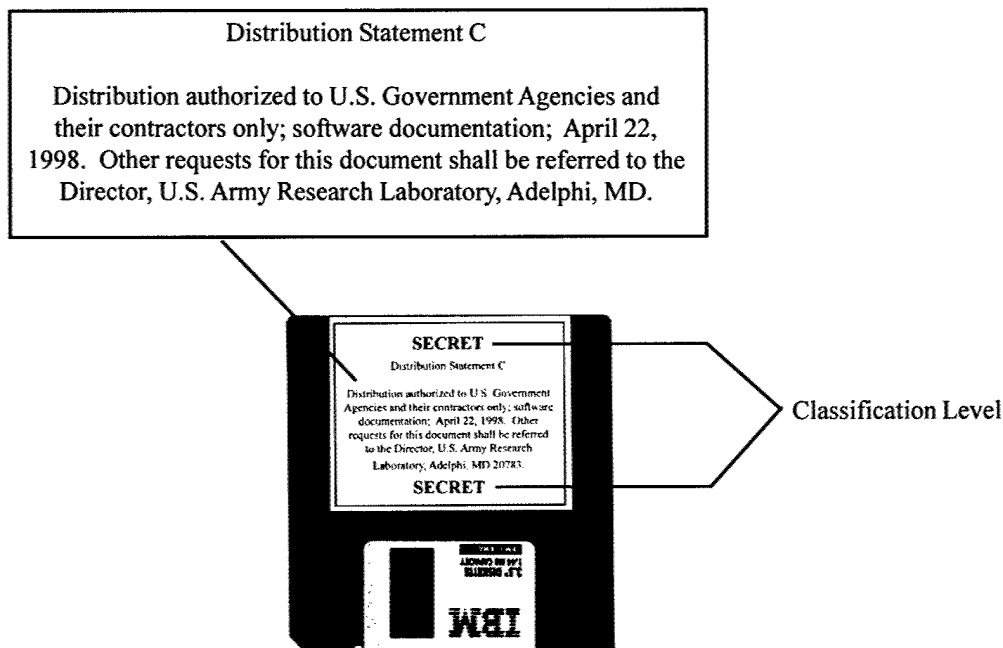
Diskettes containing classified word processing files and documents do not need to be marked with classifier information if each file on the disk has its own declassification instructions. Otherwise, the required classifier information must be marked on the outside of the diskette or placed on documentation kept with the disk or diskette.

When marking computer disks, use standard labels for all levels of classification. The label must show the highest level of classification contained on the disk. The SF labels prescribed for removable storage media may also be used for the marking of classified CDs and their cases. Classification must be conspicuously marked on the CD and its case, along with the DoD Distribution Statement, if applicable.

Standard Label	Classification Level
SF706	Top Secret
SF707	Secret
SF708	Confidential
SF709	Classified
SF710	Unclassified
SF711	Data Descriptor
SF712	Classified Sensitive Compartmented Information (SCI)

For additional guidance, see DoD 5200.1-R, Chapter 5, Section 4, *Marking Special Types of Materials*, and DoD 5200.1-PH, *Marking Information "Other Than" Documents*.

The following example shows how to mark a classified diskette on which each file has its own declassification instructions. A DoD Distribution Statement is included. See the section on Placement of DoD Distribution Statements for further details.



Marking DoD  
 Classified  
 Documents

# Example 1



**SECRET**

"CLASSIFICATION" OF THIS  
DOCUMENT IS FOR  
EXAMPLE PURPOSES ONLY

**OFFICE OF THE SECRETARY OF DEFENSE**  
Washington, D.C.

31 October 2001

**MEMORANDUM FOR: DASD**

**SUBJECT: Original Classification (U)**

1. (S) The original classification authority must be marked on the document. A "Classified by" line should include the name or personal identifier of the classifier and title or position. If the identification of the originating agency is not apparent on the face of the document, place it below the "Classified by" line.
2. (U) Each original classification decision shall state a reason for classifying. Classification may be applied only to information described in categories specified in Section 1.5 of Executive Order 12958, "Classified National Security Information."

Classified by: John S. Doe, OASD (C3I)  
Reason: Military Plans, Foreign Relations  
**OR**  
Reason: 1.5 (a) and (d)  
Declassify on: December 31, XXXX

**SECRET**

Marking DoD  
Classified  
Documents

## Example 2

**SECRET**

"CLASSIFICATION" OF THIS  
DOCUMENT IS FOR  
EXAMPLE PURPOSES ONLY



**OFFICE OF THE SECRETARY OF DEFENSE**  
Washington, D.C.

31 December 2001

**MEMORANDUM FOR: DASD (I&S)**

**SUBJECT: Classification Extensions (U)**

1. (U) An original classification authority may extend the duration of classification by following standards and procedures for classifying information.
2. (S) Revise the "Declassify on" line to include the new declassification instructions, and the identity of the person authorizing the extension and the date of the action.
3. (U) Reasonable attempts should be made to notify all holders of a classification extension.

Marking DoD  
Classified  
Documents

Classified by: John S. Doe  
OASD (C31)  
Reason: 1.5 (a) and (d)  
Declassify on: December 31, XXXX

Classification extended on  
Dec. 31, XXXX until Dec. 1, 2010  
by Donald H. Rumsfeld,  
SECDEF

**SECRET**

## Example 3

**CONFIDENTIAL**

"CLASSIFICATION" OF THIS  
DOCUMENT IS FOR  
EXAMPLE PURPOSES ONLY



**OFFICE OF THE SECRETARY OF DEFENSE**  
Washington, D.C.

October 31, 2001

**MEMORANDUM FOR: DASD (I&S)**

**SUBJECT:** Classification by Compilation (U)

1. (U) When a document consisting of individually unclassified items of information classified by compilation, mark the overall classification conspicuously at the top and bottom of the face of the document, each internal page, and outside of the back cover or page. An explanation of the basis for classification by compilation must be placed on the face of the document or included in the text.
2. (U) If portions, standing alone, are unclassified, but the document is classified by compilation or association, mark the portions "U" and the document and pages with the classification of the compilation. You must also add an explanation of the classification or the circumstances involved with association.
3. (U) If individual portions are classified at one level, but the compilation is a higher classification, mark each portion with its own classification, and mark the document and pages with the classification of the compilation.
4. (U) An explanation of the classification by compilation is required either in the document itself or in the classifier instruction (see below).

John S. Doe  
Director

Attachment

Classified by: OASD (C31)  
Reason: Compilation of unclassified training schedules for a  
specific contingency plan is CONFIDENTIAL  
Section 1.5(a)  
Declassify on: August 31, 2005

**CONFIDENTIAL**

Marking DoD  
Classified  
Documents

## Example 4

**SECRET**

"CLASSIFICATION" OF THIS  
DOCUMENT IS FOR  
EXAMPLE PURPOSES ONLY

**OFFICE OF ADMINISTRATION**  
Washington, D.C.

November 1, 2001

**MEMORANDUM FOR:**

**FROM:** David Smith, Chief  
Division 5

**SUBJECT:** Funding Problems (U)

1. (U) The information in this paragraph is unclassified. The portion is marked with a "U" in parentheses.
2. (S) This paragraph contains "Secret" information and is marked with an "S" in parentheses.
3. (C) This paragraph includes information that is "Confidential" and is marked with a "C" in parentheses.

**Classified by:** David Smith, Chief, Division 5  
Office of Administration  
**Reason:** 1.5(a) and (d)  
**Declassify on:** December 31, 2006

**SECRET**

Marking DoD  
Classified  
Documents



## Example 5

**SECRET**

"CLASSIFICATION" OF THIS  
DOCUMENT IS FOR  
EXAMPLE PURPOSES ONLY

**OFFICE OF ADMINISTRATION**  
Washington, D.C.

December 3, 2001

**MEMORANDUM FOR:**

**FROM:** Susan Goode, Director

**SUBJECT:** Recommendations for Resolving Funding Problems (U)

1. (S) This paragraph contains "Secret" information taken from paragraph 2 of the source document. The portion is marked with an "S" in parentheses.
2. (U) The information in this paragraph is unclassified. The portion is marked with a "U" in parentheses.
3. (U) The information in this paragraph is unclassified. The portion is marked with a "U" in parentheses.

Derived from: Memorandum dated 11/1/01  
Subj: Funding Problems (U)  
Declassify on: December 31, 2006

**SECRET**

Marking DoD  
Classified  
Documents

## Example 6

CONFIDENTIAL

"CLASSIFICATION" OF THIS  
DOCUMENT IS FOR  
EXAMPLE PURPOSES ONLY



OFFICE OF THE SECRETARY OF DEFENSE  
Washington, D.C.

October 22, 2001

MEMORANDUM FOR: DASD (I&S)

SUBJECT: Derivatively Classifying from a Classification Guide (U)

(C) This paragraph includes information about **technical scope**.

(U) This paragraph includes information on program planning.

(U) This paragraph includes information on program progress.

Marking DoD  
Classified  
Documents

Derived from: Scty Class Guide #128  
Dated: 11/1/95  
Declassify on: April 15, 2005

CONFIDENTIAL

## Example 7

**TOP SECRET/TWISTED FEATHER (U)**



"CLASSIFICATION" OF THIS  
DOCUMENT IS FOR  
EXAMPLE PURPOSES ONLY

**OFFICE OF THE SECRETARY OF DEFENSE**  
Washington, D.C.

October 1, 2001

**MEMORANDUM FOR: SPECIAL ACCESS PROGRAM CENTRAL OFFICES**

**SUBJECT:** Identification and Marking of SAP Documents (U)

1. (U) This paragraph contains "Unclassified" information.
2. (C) This paragraph contains non-SAP national security information.
3. (TS/TF) This paragraph contains TOP SECRET information related to the special access program TWISTED FEATHER (U). The portion marking includes a digraph of the unclassified nickname following classification level.

John S. Doe  
Director, Special Programs

Classified by: TF Program Manager  
Reason: 1.5(a) and (d)  
Declassify on: December 31, 2004

**TOP SECRET/TWISTED FEATHER (U)**

Marking DoD  
Classified  
Documents

## Example 8



**SECRET/NF/OC**

"CLASSIFICATION" OF THIS  
DOCUMENT IS FOR  
EXAMPLE PURPOSES ONLY

**OFFICE OF THE SECRETARY OF DEFENSE**  
Washington, D.C.

March 6, 2002

**MEMORANDUM FOR: DIRECTOR, OFFICE OF ADMINISTRATION**

**SUBJECT: Secret Document Containing Intelligence Information (U)**

1. (U) This paragraph contains unclassified information; therefore, it is marked with the designation "U" in parentheses.
2. (U) This paragraph is unclassified.
3. (C) This paragraph contains "Confidential" information; therefore, it is marked with the designation "C" in parentheses.
4. (S-NF) "Not Releasable To Foreign Nationals" (NOFORN) marking indicates that the information contained in the document may *not* be provided in any form to foreign governments, international organizations, coalition partners, foreign nationals, or immigrant aliens without originator approval. NOFORN is an intelligence community marking. See DCID 6/6 for additional guidance.
5. (C-OC) "Dissemination and Extraction of Information Controlled by Originator" (ORCON) marking indicates that the document bearing the marking is controlled by the originator. Reproduction, extraction of information, or redistribution of such documents requires permission of the originator. ORCON is an intelligence community marking.

John T. Jones  
Director

Derived from: Multiple Sources  
Declassify on: September 30, 2008

**SECRET/NF/OC**

Marking DoD  
Classified  
Documents

## Example 9

UK/SECRET

"CLASSIFICATION" OF THIS  
DOCUMENT IS FOR  
EXAMPLE PURPOSES ONLY



OFFICE OF THE SECRETARY OF DEFENSE  
Washington, D.C.

February 21, 2002

**MEMORANDUM FOR: DEPSECDEF**

**SUBJECT:** Foreign Government Information (U)

1. (U) The U.S. Government gives protection to information provided by foreign governments. Care must be taken to identify the source of the information.
2. (FGI-C) Mark portions that contain foreign government information to indicate the classification level and country of origin of the information. Substitute the words "Foreign Government Information" or "FGI" where the identity of the specific government must be concealed. The identity of the concealed foreign source in this example must be maintained with the record copy and adequately protected. [When the identity of the country must be concealed, substitute "Foreign Government Information (FGI)" for the name of the specific country and note the country in the record copy of the document.]
3. (UK-S) Mark portions that contain the foreign government information to indicate the classification level and country of origin of the information. The "Derived from" line should cite title of the document provided. Declassification date, event, or exemption category is carried forward, if known.

John S. Doe  
Director

Derived from: FGI Source Document, dated \_\_\_\_\_  
UK Source Document, August 23, 2001  
Declassify on: X5, FGI

UK/SECRET

Marking DoD  
Classified  
Documents

## Example 10



**SECRET**  
**Restricted Data**

"CLASSIFICATION" OF THIS  
DOCUMENT IS FOR  
EXAMPLE PURPOSES ONLY

OFFICE OF THE ASSISTANT SECRETARY OF DEFENSE  
Washington, D.C.

October 31, 2001

### MEMORANDUM FOR: DEPSECDEF

**SUBJECT:** Atomic Energy Act of 1954 (U)

1. (S-RD) This paragraph contains Secret Restricted Data. Portions containing "Restricted Data" or "Formerly Restricted Data" as defined by the Atomic Energy Act of 1954 should be marked with classification level followed by the category marking (RD or FRD).
  - a. (S-FRD) This paragraph contains Secret Formerly Restricted Data only.
  - b. (S-RD)(N) This paragraph contains Secret Restricted Data and Critical Nuclear Weapon Design Information (CNWDI) or (N). Portion marking for this paragraph includes level and category of information, plus a "need to know" designation of (N).
2. (U) Special warning notices are applied at lower right on the face of the document to alert the user to the presence of RD and/or FRD. If a document contains both categories, only the more restrictive RD warning notice is affixed. The CNWDI notice is also included on the document face.
3. (U) There are *no declassification* instructions for RD and FRD information. Classifier information at lower left reflects a "Derived from" byline only.

Joseph W. Smith  
OASD(C3I)

Attachment  
Derived from: CG-W-5, Oct. 16, 1995  
(identify the Classifier)

**RESTRICTED DATA**  
This document contains Restricted Data as defined by the Atomic Energy Act of 1954. Unauthorized disclosure is subject to administrative and criminal sanctions.

**CNWDI**  
Critical Nuclear Weapon Design Information -- DoD Directive 5210.2 applies.

**Restricted Data**  
**SECRET**

Marking DoD  
Classified  
Documents

# Example 11



**SECRET**  
**Restricted Data**

"CLASSIFICATION" OF THIS  
DOCUMENT IS FOR  
EXAMPLE PURPOSES ONLY

**OFFICE OF THE SECRETARY OF DEFENSE**  
**Washington, D.C.**

## Marking RD or FRD Documents (U)

October 31, 2002

**Critical Nuclear Weapon Design Information**  
**DoD Directive 5210.2 applies**

**Derived from: CG-W-5, Oct. 16, 1995**  
**(identify the Classifier)**

**Restricted Data**  
**SECRET**

**RESTRICTED DATA**  
This document contains Restricted  
Data as defined in the Atomic Energy  
Act of 1954, as amended.  
Unauthorized disclosure is subject to  
administrative and criminal sanctions.

Marking DoD  
Classified  
Documents

## Example 12



**SECRET**

"CLASSIFICATION" OF THIS  
DOCUMENT IS FOR  
EXAMPLE PURPOSES ONLY

**OFFICE OF THE SECRETARY OF DEFENSE**  
Washington, D.C.

March 27, 2002

**MEMORANDUM FOR: DASD (I&S)**

**SUBJECT: Unclassified Letters of Transmittal**

1. Information in transmittal letters is marked on the basis of content. Frequently, unclassified transmittal letters have classified attachments. The overall marking on the transmittal letter must reflect the highest classification of its attachments.
2. Conspicuously mark an unclassified transmittal document with the **highest classification level of any information transmitted by it**. Also mark the transmittal document with an instruction indicating that the letter becomes unclassified when separated from classified attachments or enclosures, as shown here.

Joseph W. Smith  
OASD (C3I)

Attachments

1. Secret C3I memo, dated November 27, 2001, subj. \_\_\_\_\_
2. Memo dated \_\_\_\_\_, subj. \_\_\_\_\_

**Unclassified when separated from classified enclosures**

**SECRET**

Marking DoD  
Classified  
Documents



## Example 13



SECRET

"CLASSIFICATION" OF THIS  
DOCUMENT IS FOR  
EXAMPLE PURPOSES ONLY

OFFICE OF THE SECRETARY OF DEFENSE  
Washington, D.C.

October 31, 2001

MEMORANDUM FOR: DEPSECDEF

SUBJECT: Letters of Transmittal with Classified Information (U)

1. (U) If the transmittal document itself contains classified information, mark it as required for all other classified information, except:
  - a. (U) Conspicuously mark the top and bottom of the transmittal document with the **highest classification level of any information contained in the transmittal document or its enclosures.**
  - b. (C) Mark the transmittal document with an appropriate instruction indicating its **overall classification level when separated from its enclosures as shown in this example.**
2. (U) The "Derived from" line reflects the decision applied to the transmittal letter. Project XYZ requires the paragraph above to be Confidential.
3. (U) In this example, the Attachment is classified at the Secret level. Therefore, the overall classification of this particular transmittal letter is marked "SECRET."

Jane P. Brown  
OASD (C31)

Attachment  
Secret memo dtd \_\_\_\_\_, subj. \_\_\_\_\_

Derived from: Project XYZ  
Declassify on: December 31, 2006

**Downgrade to Confidential when separated from Secret enclosure**

SECRET

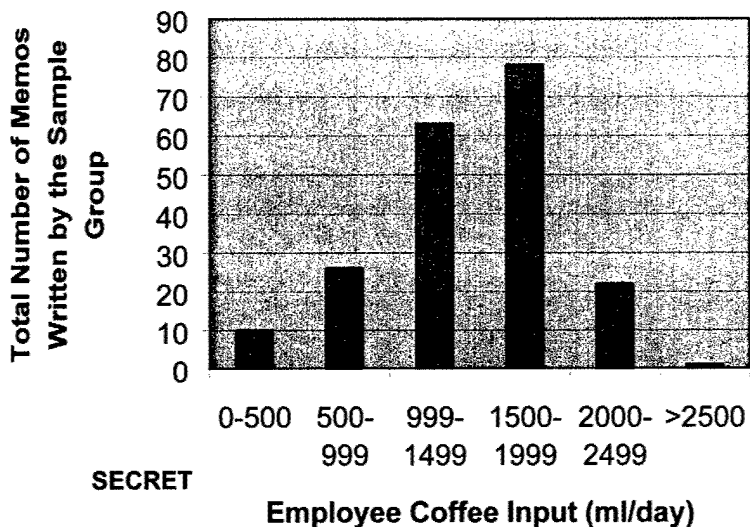
Marking DoD  
Classified  
Documents

# Example 14

SECRET

"CLASSIFICATION" OF THIS DOCUMENT IS FOR EXAMPLE PURPOSES ONLY

## Memo Output as a Function of Coffee Input: Data for a Representative Sample of DoD Employees during June 2001 (n = 200) (U)



SECRET

SECRET

Marking DoD Classified Documents

**Placement of DoD  
Distribution Statements**

# Placement of DoD Distribution Statements

## Introduction

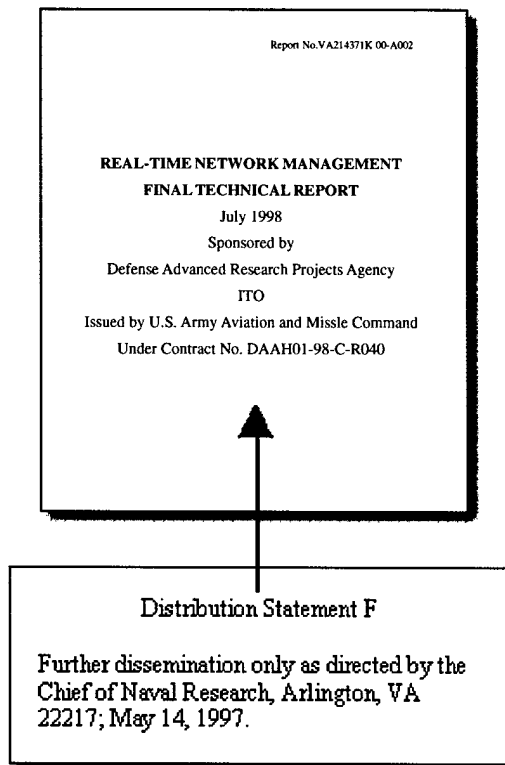
Correct placement of the DoD Distribution Statement can vary, depending on the form of the technical document. Technical documents can come in many media formats: paper-based, electronic, or audio-visual.

<b>Media Formats</b>	<ul style="list-style-type: none"><li>• Paper</li><li>• Film</li><li>• Microfilm/microfiche</li><li>• Viewgraphs</li><li>• Computer diskettes</li><li>• E-mail</li></ul>	<ul style="list-style-type: none"><li>• Electronic</li><li>• Oral presentations</li><li>• Audio/video tapes</li><li>• Slides</li><li>• CD ROM</li></ul>
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When reading this section of the guide, remember that any required markings such as classification markings or an Export Control Warning must be placed along with the DoD Distribution Statement. Special requirements for classified markings on electronic and audiovisual media are noted below.

## Paper Publications

Place the DoD Distribution Statement on the front cover or title page at the bottom.



Placement of  
DOD Distribution  
Statements

If the document doesn't have a cover or title page, place the DoD Distribution Statement on the bottom of the first page.

## Magnetic Data and Computer Media (cassettes, magnetic tapes, disks, diskettes, CDs)

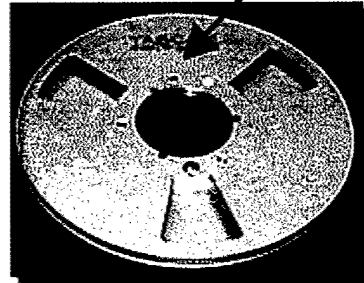
Place the DoD Distribution Statement in three places:

1. In the magnetic data content itself
2. On the first and last pages of any hard copy printouts of the content
3. On the outside of the container housing the magnetic data

### Distribution Statement X

Distribution authorized to agencies, individuals, and enterprises authorized to receive export-controlled data; critical technology; June 9, 1990. Other requests for this document shall be referred to the Chief Scientist, Armstrong Laboratory, U.S. Air Force, Brooks AFB, Texas 78235.

WARNING - This document contains technical data whose export is restricted by the Arms Export Control Act (Title 22, U.S.C., Sec. 2751, et seq.) or the Export Administration Act of 1979, as amended, Title 50 U.S.C., App. 2401 et seq. Violations of these export laws are subject to severe criminal penalties. Disseminate in accordance with the provisions of DoD Directive 5230.25.

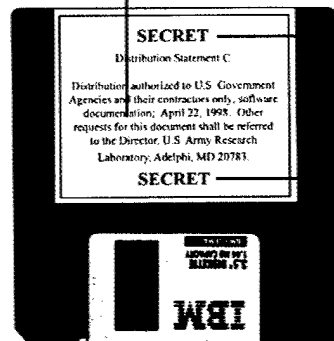


### Distribution Statement C

Distribution authorized to U.S. Government Agencies and their contractors; software documentation; April 22, 1998. Other requests for this document shall be referred to the Director, U.S. Army Research Laboratory, Adelphi, MD.

### Distribution Statement F

Further dissemination only as directed by the Chief of Naval Research, Arlington, VA 22217; May 14, 1997.



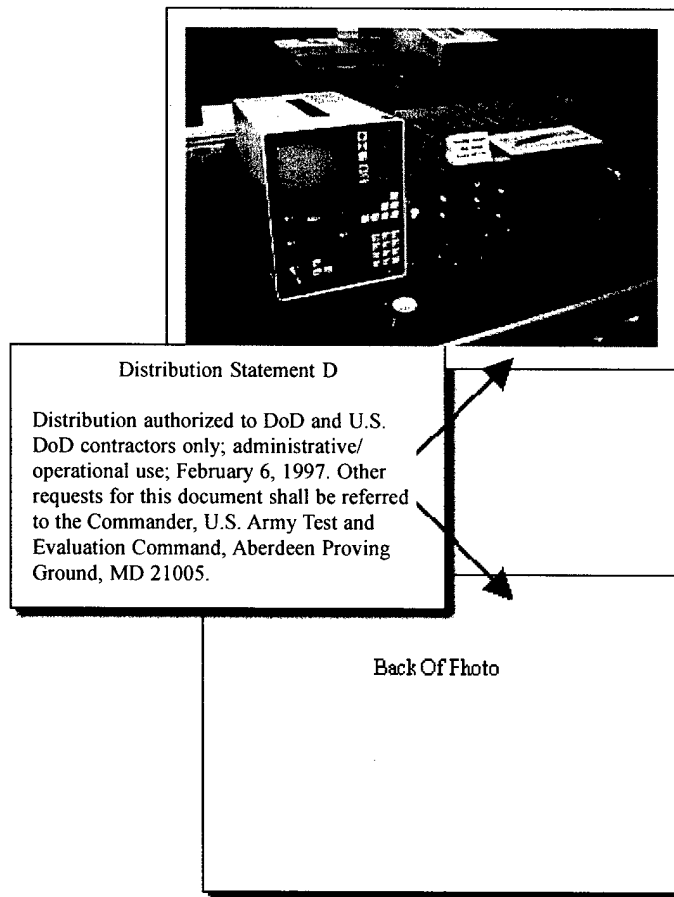
Classification Level

Placement of  
DOD Distribution  
Statements

## Photographic Prints, Negatives, and Film Rolls

Place the DoD Distribution Statement on both negatives and prints. If possible, put the statement on the face side of prints and reproductions. If this is not possible, place statements on the reverse side.

Mark the film rolls (negatives and prints) at the beginning and end of the strips with the DoD Distribution Statement.



## Presentation Viewgraphs and Slides

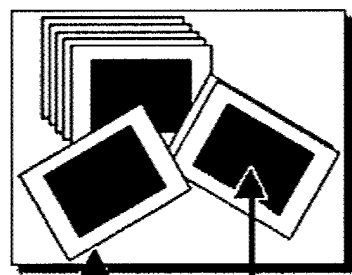
There are two acceptable ways to mark a presentation using viewgraphs or slides with a DoD Distribution Statement:

1. Use one viewgraph or slide: Put the DoD Distribution Statement on the same viewgraph or slide with the presentation title, or
2. Use two viewgraphs or slides: Put the DoD Distribution Statement on the first viewgraph or slide, followed by the second viewgraph or slide with the presentation title.

It is not necessary to put the DoD Distribution Statement on each viewgraph or slide, unless you remove one from the set. If the DoD Distribution Statement is only visible when projected, it must be placed on the viewgraph frame or holder itself.

Slides must have markings on the slide cover and on the actual image so that when the slide is displayed on the screen, the classification is clearly identified. Put any other applicable markings (such as a DoD Distribution Statement or Export Control Warning) on the lead slide.

Placement of  
DOD Distribution  
Statements



**Distribution Statement E**

Distribution authorized to DoD components only; direct military support; July 1, 1996. Other requests for this document shall be referred to the Director, Sensor Technology Office, Defense Advanced Research Projects Agency, Arlington, VA 22203.

**WARNING** - This document contains technical data whose export is restricted by the Arms Export Control Act (Title 22, U.S.C., Sec. 2751, et. seq.) or the Export Administration of 1979, as amended, Title 50 U.S.C., App. 2401 et. seq. Violations of these export laws are subject to severe criminal penalties. Disseminate in accordance with provisions of DoD Directive 5230.25.

Report No. WH97JR00-A002

**REAL-TIME NETWORK MANAGEMENT**

**FINAL TECHNICAL REPORT**

July 1998

Sponsored by

Defense Advanced Research Projects Agency  
ITO

Issued by U.S. Army Aviation and Missile  
Command Under

Contract No. DAAH01-98-C-R040

### Microfiche

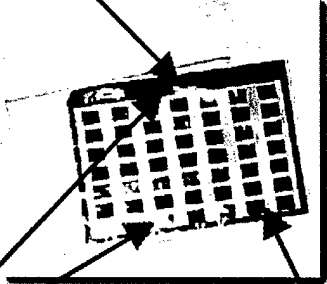
Put the DoD Distribution Statement on the outside of the jacket containing the microfiche.

Mark hard copies of the data contained in the microfiche with the DoD Distribution Statement, placing it on the first and last pages of the printout and the first and last frames of the film.

The headers for the microfiche must carry abbreviated versions of the statements.

Distribution Statement B

Distribution authorized to U.S. Government Agencies only; foreign government information; September 15, 1995. Other requests for this document shall be referred to the Naval Sea Logistics Center, Naval Sea Systems, Concord, CA 94510.



SECRET

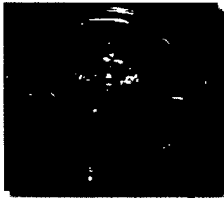
SECRET  
(microfiche image)  
SECRET

### Audiovisual Productions

Place the DoD Distribution Statement on the opening and closing frames of the production.

All markings must be visible when projected.

Mark all reels and cassettes with the statements.



Distribution Statement F

Further dissemination only as directed by the Chief of Naval Research, Arlington, VA 22217, May 14, 1997.



Placement of DOD Distribution Statements





# Glossary

**Audience:** The specific audience authorized by a DoD Distribution Statement to receive a technical document without further review or release decisions by the DoD Controlling Office.

**Automatic Declassification:** The declassification of information based upon: (1) the occurrence of a specific date or event as determined by the original classification authority, or (2) the expiration of a maximum time frame for duration of classification established under E.O. 12958.

**Caveat:** A marking designating special handling or control.

**Classification:** The act or process by which information is determined to be classified information.

**Classification by Compilation:** Individually unclassified items of information that may become classified if the compiled information reveals an additional association or relationship. The compilation must qualify for classification under an Executive Order.

**Classification Guidance:** Any instruction or source that prescribes the classification of specific information.

**Classification Guide:** A documentary form of classification guidance issued by an original classification authority that identifies the elements of information pertaining to a specific subject that must be classified, and establishes the level and duration of classification for each element. The guide is used to facilitate proper and uniform derivative classification of information.

**Classification Level:** A designation assigned to specific elements of information based on the potential damage to national security if disclosed to unauthorized persons. The three classification levels in descending order of potential damage are Top Secret, Secret, and Confidential.

**Classified by: Line:** Identifies the original classification authority responsible for classifying the information. Identification is noted either by name or personal identifier that can be traced through secure channels.

**Classifier:** An individual who makes a classification determination and/or applies a security classification to information or material. A classifier may be an original classification authority or a person who derivatively assigns a security classification based on a properly classified source or a classification guide.

**CNWDI: Critical Nuclear Weapon Design Information.** A category of weapon data designating Top Secret Restricted Data or Secret Restricted Data revealing the theory of operation or design of the components of a thermo-nuclear or implosion-type fission bomb, warhead, demolition munition, or test device. Access to CNWDI is on a need-to-know basis.

**Classifier Information:** Information placed on the face of a document at lower left that gives the classification authority, reason for classification (if "originally classified"), and declassification instructions (national security information only).

**Code Word:** A code word is a single word assigned a classified meaning by appropriate authority to ensure proper security concerning intentions and to safeguard information pertaining to actual, real-world military plans or operations classified as CONFIDENTIAL or higher.

**Commodity Control List (CCL):** A section of the Commerce Department's Bureau of Export Administration Regulations that lists specific technologies and the countries to which those technologies may or may not be exported, along with any special restrictions or exceptions that may apply.

**Confidential:** A classification level that is applied to information, the unauthorized disclosure of which reasonably could be expected to cause *damage* to the national security.

**Controlling DoD Office:** The DoD activity that sponsored the work that generated the technical data or received the technical data on behalf of the Department of Defense and, therefore, has the responsibility for determining the distribution of a document containing such technical data. For joint sponsorship, the controlling office is determined by advance agreement and may be either a party, group, or committee representing the interested activities or DoD Components.

**Damage to National Security:** Harm to the national defense or foreign relations of the United States from the unauthorized disclosure of information, to include the sensitivity, value, and utility of that information.

**Date of Determination:** Date that the DoD Distribution Statement is assigned.

**Declassification:** Authorized change in the status of information from classified information to unclassified information.

**Declassify on: Line:** The second line of classifier information for a derivative document and third line of classifier information for an "originally classified" document showing the length of time a document must remain classified, or the duration of classification.

**Derivative Classification:** The act of incorporating, paraphrasing, restating, or generating in new form, information that is already classified, and marking the developed material consistent with the markings of the source information.

**Derived from: Line:** The first line of classifier information placed on a derivative document giving the authority for the derivative classification, which may be an existing classified document (source document) or a classification guide.

**Document:** Any physical medium in or on which information is recorded or stored, to include written or printed matter, audiovisual materials, and electromagnetic storage media.

**DoD Distribution Statement:** A statement that denotes the extent of the document's availability for distribution, release, and disclosure without additional approvals or authorizations. It remains in effect until it is changed or removed by the DoD Controlling Office.

**DoD Distribution Statement A:** Approved for public release; distribution is unlimited.

**DoD Distribution Statement B:** Distribution authorized to U.S. Government Agencies only.

**DoD Distribution Statement C:** Distribution authorized to U.S. Government Agencies and their contractors only.

**DoD Distribution Statement D:** Distribution authorized to the Department of Defense and U.S. DoD contractors only.

**DoD Distribution Statement E:** Distribution authorized to DoD components only.

**DoD Distribution Statement F:** Further dissemination to individuals/entities only as directed by the DoD Controlling Office on a case-by-case basis.

**DoD Distribution Statement X:** Distribution authorized to U.S. Government Agencies and private individuals or enterprises eligible to obtain export-controlled technical data in accordance with DoD Directive 5230.25.

**DoD Technical Data:** Recorded information related to experimental, developmental, or engineering works that can be used to define an engineering or manufacturing process or to design, procure, support, maintain, operate, repair or overhaul material. The data may be graphic or pictorial delineations in media such as drawings or photographs, text in specifications or related performance or design type documents, or computer printouts. Examples of technical data include research and engineering data, engineering drawings, and associated lists, specifications, standards, process sheets, manuals, technical reports, catalog-item identifications, and related information and computer software documentation.

**DoD Technical Document:** Any recorded information that conveys scientific and technical information or technical data. It includes such informational documents as working papers, memoranda, and preliminary reports when such documents have utility beyond the immediate mission requirement, or will become part of the historical record of technical achievements.

NOTE: DoD technical documents include not only those technical documents generated by DoD-funded research, development, and test and evaluation programs that are the basis of the DoD Scientific and Technical Information Program. They also include all newly created engineering drawings, standards, specifications, technical manuals, blueprints, drawings, plans, instructions, computer software and documentation, and other technical information that can be used or adapted for use to design, engineer, produce, manufacture, operate, repair, overhaul, or reproduce any military or space equipment or technology concerning such equipment. These documents **do not include** command, control, communication, and intelligence operational documents; communication security documents; cryptographic data; personnel records; broad types of documents such as administrative papers, internal procedures, catalogs and brochures, directories, promotional materials, and contract administration documents; or technical documents used by DoD that have not been produced by or for DoD such as a book of industry standards or a privately published scientific journal.

**DoD Technical Information:** Information, including scientific information, that relates to research, development, engineering, test, evaluation, production, operation, use, and maintenance of munitions and other military supplies and equipment.

**Downgrading:** A determination by a declassification authority that information classified and safeguarded at a specified level shall be classified and safeguarded at a lower level.

**Event:** An occurrence or happening that is reasonably certain to occur and that can be set as the signal for automatic declassification of information.

**Export Controlled Information (ECI):** Government rules and regulations that govern the transfer of commodities (equipment, hardware, or material), technologies (technical data, information, or assistance), and software (commercial or custom) to any non-U.S. entity or individual, wherever the transfer may take place.

**Export Control Warning:** A statement that must be applied to data, goods, and technologies found on the Department of State's United States Munitions List (USML) and the Department of Commerce's Commodity Control List (CCL).

**Face of the Document:** First page of text, which may be a cover, title page, or first page (excluding Standard Form cover).

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**For Official Use Only (FOUO):** A designation applied to unclassified information that may be exempt from mandatory release to the public under the FOIA.

**Foreign Government Information (FGI):** a. Information provided to the United States Government by a foreign government or governments, an international organization of governments, or any element thereof, with the expectation that the information, the source of the information, or both, are to be held in confidence; 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 element thereof, requiring that the information, the arrangement, or both, are to be held in confidence; or c. Information received and treated as "Foreign Government Information" under the terms of a predecessor order to E.O. 12958.

**Formerly Restricted Data (FRD):** A category of classified information as defined in Section 142 of the Atomic Energy Act of 1954, as amended, that involves utilization of nuclear weapons.

**Freedom of Information Act (FOIA):** A federal law, signed in 1966, that gives persons access to federal records except when all or part of a record is exempt. The FOIA specifies nine exemptions that may qualify certain information to be withheld from release to the public if, by its disclosure, a foreseeable harm would occur.

**Information:** Knowledge that can be communicated or documentary material, regardless of its physical form or characteristics, that is owned by, produced by or for, or is under the control of the U.S. Government. The "control" of information is under the authority of the agency that originates information.

**Intelligence Community:** A term defined in E.O. 12333 that refers to the following agencies or organizations: Central Intelligence Agency (CIA); National Security Agency (NSA); Defense Intelligence Agency (DIA); offices with the Department of Defense (DoD) for the collection of specialized foreign intelligence through reconnaissance programs; Bureau of Intelligence and Research of the Department of State; intelligence elements of the Army, Navy, Air Force, and Marine Corps; staff elements of the Director of Central Intelligence; the Federal Bureau of Investigation (FBI); Department of the Treasury; and Department of Energy (DOE).

**Intelligence Information:** Information that is under the jurisdiction and control of the Director of Central Intelligence or a member of the Intelligence Community.

**Multiple Sources:** Two or more source documents, classification guides, or a combination of both, used for classifying a document.

**National Security Information (NSI):** Information pertaining to the national defense or foreign relations (national security) of the United States and classified by an Executive Order.

**Need-to-Know:** A determination made by an authorized holder of classified information that a prospective recipient requires access to specific classified information in order to perform or assist in a lawful and authorized governmental function.

**Nickname:** A nickname is a combination of two separate unclassified words assigned an unclassified meaning and employed only for unclassified administrative, morale, or public information purposes.

**Nonrecord:** As defined in 36 CFR 1222.34, "Nonrecord materials are those Federally owned informational materials that do not meet the statutory definition of records (Title 44 U.S. Code, Section 3301) or that have been excluded from coverage by the definition. Excluded materials are extra copies of documents kept only for reference, stocks of publications and processed documents, and library or museum materials intended solely for reference or exhibit." Source: Paragraph E2.1.2 of DoD Directive 5015.2, *DoD Records Management Program*.

**OADR: Originating Agency's Determination Required.** OADR applies to documents classified before October 14, 1995.

**Original Classification:** An initial determination that information requires, in the interest of national security, protection against unauthorized disclosure.

**Original Classification Authority:** An individual authorized in writing, by the President or designee, or by agency heads to classify information in the first instance. The original classification authority determines that unauthorized disclosure of information reasonably could be expected to result in damage to the national security, and is able to identify or describe the damage.

**Overall Classification:** A determination of classification level for a document based on the highest level of classification assigned to any portion or page.

**Personal Information:** Information about an individual that identifies, relates or is unique to, or describes him or her; e.g., a social security number, age, military rank, civilian grade, marital status, race, salary, home/office phone numbers, etc. Source: Paragraph E2.1.2 of DoD Directive 5400.11, *DoD Privacy Program*.

**Portion Marking:** The application of National Security Information classification markings (TS, S, C, or U) to words, phrases, sentences, or paragraphs of a document to indicate classification level. The marking must also include special control designators or caveats.

**Primary Distribution:** The initial targeted distribution of, or access to, technical documents authorized by the DoD Controlling Office.

**Reason Line:** The second line of classifier information for an "originally classified" document, stating one or more categories for the classification decision under E.O. 12958, Section 1.5.

**Reason(s) for Restriction:** The reason(s) for restricting a technical document to a specific audience.

**Record:** As defined, in part, in Title 44 U.S. Code, Section 3301, "Records include all books, papers, maps, photographs, machine-readable materials, and other documentary materials, regardless of physical form or characteristics, made or received by an Agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that Agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of the data in them." A record covers information in any medium and includes operational logistics, support and other materials created or received by the DoD Components in training, contingency, and wartime operations as well as in all routine and peacetime business. Source: Paragraph E2.1.3 of DoD Directive 5015.2, *DoD Records Management Program*.

**Record (Privacy Act):** Any item, collection, or grouping of information, whatever the storage media (e.g., paper, electronic, etc.), about an individual that is maintained by a DoD Component, including but not limited to, his or her education, financial transactions, medical history, criminal or employment history and that contains his or her name, or the identifying number, symbol, or other identifying particular assigned to the individual, such as a finger or voice print or a photograph. Source: Paragraph E2.1.3 of DoD Directive 5400.11, *DoD Privacy Program*.

**Restricted Data (RD):** A category of classified information as defined in Section 142 of the Atomic Energy Act of 1954, as amended, involving the design or manufacturing of nuclear weapons, production of special nuclear material, or its use in energy production.

**Safeguarding:** Measures and controls that are prescribed to protect information.

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**Secondary Distribution:** Release of technical documents provided, after primary distribution, by other than the originator or the DoD Controlling Office.

**Secret (S):** The classification level applied to information, the unauthorized disclosure of which reasonably could be expected to cause *serious damage* to the national security. (E.O. 12958)

**Source Document:** A classified document, other than a classification guide, from which information is extracted for inclusion in another document.

**Special Access Program (SAP):** Any DoD program or activity (as authorized in E.O. 12958), employing enhanced security measures (e.g., safeguarding, access requirements, etc.) exceeding those normally required for collateral information at the same level of classification shall be established, approved, and managed as a DoD SAP.

**System of Records (Privacy Act):** A group of records under the control of a DoD Component from which personal information is retrieved by the individual's name or by some identifying number, symbol, or other identifying particular assigned to an individual. Source: Paragraph E2.15. of DoD Directive 5400.11, *DoD Privacy Program*.

**Top Secret (TS):** The classification level applied to information, the unauthorized disclosure of which could be expected to cause *exceptionally grave damage* to the national security. (E.O. 12958)

**Unauthorized Disclosure:** A communication or physical transfer of classified information to an unauthorized recipient.

**United States Munitions List (USML):** That part of the secondary regulations (the International Traffic in Arms Regulations or ITAR) that defines which defense articles and services are subject to licensing.

**Working Paper:** A classified document in an interim production stage toward generation of a permanent document.

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## References



# References

The following directives, instructions, and other publications describe DoD policy and requirements for marking documents and/or identify policy constraints on the dissemination of information created by or for DoD or under DoD's control.

Department of Defense (DoD) Directive 3200.12, *DoD Scientific and Technical Information (STI) Program (STIP)*

DoD Directive 5200.1, *Information Security Program*

DoD Directive 5210.2, *Access to and Dissemination of Restricted Data*

DoD Directive 5230.9, *Clearance of DoD Information for Public Release*

DoD Directive 5230.11, *Disclosure of Classified Military Information to Foreign Governments and International Organizations*

DoD Directive 5230.24, *DoD Distribution Statements on Technical Documents*

DoD Directive 5230.25, *Withholding of Unclassified Technical Data from Public Disclosure*

DoD Directive 5400.4, *Provision of Information to Congress*

DoD Directive 5400.7, *Freedom of Information Act (FOIA) Program*

DoD Directive 5400.11, *DoD Privacy Program*

DoD Directive 7650.1, *General Accounting Office (GAO) and Comptroller General Access to Records*

DoD Directive 8910.1, *Management and Control of Information Requirements*

DoD Directive O-5205.7, *Special Access Program (SAP) Policy*

DoD Instruction 3200.14, *Principles and Operational Parameters of the DoD Scientific and Technical Program*

DoD Instruction 5230.27, *Presentation of DoD-Related Scientific and Technical Papers at Meetings*

DoD Instruction 5230.29, *Security and Policy Review of DoD Information for Public Release*

DoD Pamphlet 5200.1-PH, *DoD Guide to Marking Classified Documents*

DoD Regulation 5200.1-R, *Information Security Program*

DoD Regulation 5400.7-R, *Freedom of Information Act Program*

DoD Regulation 5400.11-R, *DoD Privacy Program*

DFARS 252.27.4/252.227, *Proprietary Information*

Director of Central Intelligence Directive (DCID) 6/6, *Security Controls on the Dissemination of Intelligence Information (6/6/03)*

Executive Order 12958, *Classified National Security Information*

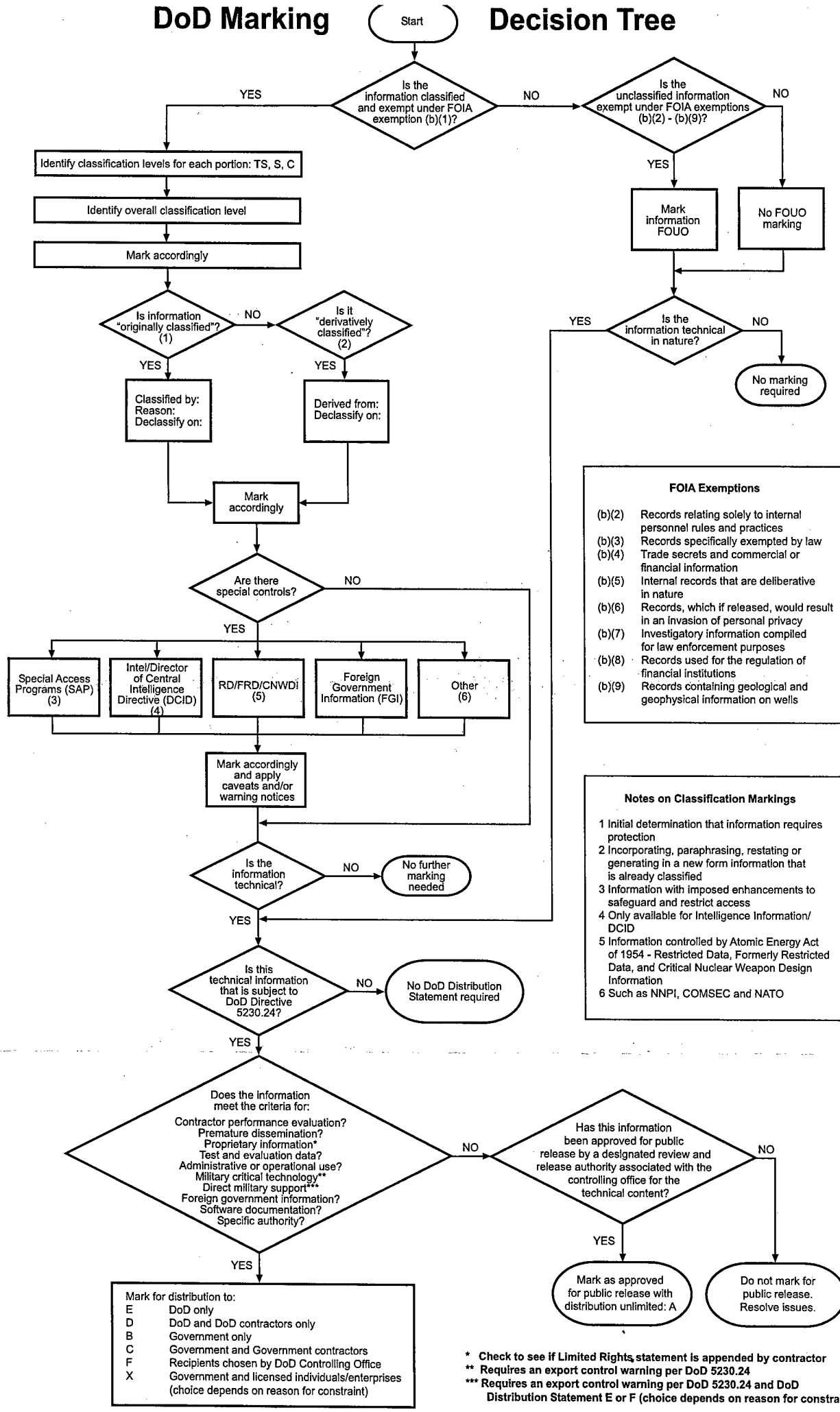
Executive Order 13292, *Further Amendment to Executive Order 12958, Classified National Security Information, as amended (3/25/03)*

Office of Management and Budget Implementing Directive to E.O. 12958

DoD Marking  
Decision Tree

# DoD Marking

# Decision Tree



- FOIA Exemptions**
- (b)(2) Records relating solely to internal personnel rules and practices
  - (b)(3) Records specifically exempted by law
  - (b)(4) Trade secrets and commercial or financial information
  - (b)(5) Internal records that are deliberative in nature
  - (b)(6) Records, which if released, would result in an invasion of personal privacy
  - (b)(7) Investigatory information compiled for law enforcement purposes
  - (b)(8) Records used for the regulation of financial institutions
  - (b)(9) Records containing geological and geophysical information on wells

- Notes on Classification Markings**
- 1 Initial determination that information requires protection
  - 2 Incorporating, paraphrasing, restating or generating in a new form information that is already classified
  - 3 Information with imposed enhancements to safeguard and restrict access
  - 4 Only available for Intelligence Information/ DCID
  - 5 Information controlled by Atomic Energy Act of 1954 - Restricted Data, Formerly Restricted Data, and Critical Nuclear Weapon Design Information
  - 6 Such as NNPI, COMSEC and NATO

- Mark for distribution to:**
- E DoD only
  - D DoD and DoD contractors only
  - B Government only
  - C Government and Government contractors
  - F Recipients chosen by DoD Controlling Office
  - X Government and licensed individuals/enterprises (choice depends on reason for constraint)

\* Check to see if Limited Rights statement is appended by contractor  
 \*\* Requires an export control warning per DoD 5230.24  
 \*\*\* Requires an export control warning per DoD 5230.24 and DoD Distribution Statement E or F (choice depends on reason for constraint)