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Description of document: **Department of Energy (DOE) Mandatory Declassification Review (MDR) procedures, memoranda and reports regarding MDR processing, 2007-2010**

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United States Department of Energy,
1000 Independence Avenue, SW
Washington, DC 20585

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Department of Energy
Washington, DC 20585

JUL 21 2010

This is in response to your requests for information sent to the Department of Energy (DOE) under the Freedom of Information Act, 5 U.S.C. 552. Your requests were received at the DOE on February 1, 2010, and March 18, 2010, and assigned case numbers HQ- 2010-00852-F, and HQ-2010-01077-F respectively.

You requested documents containing the following information:

Case Number FOIA HQ-2010-00852-F

- 1) "Agency's procedures (or guidance) to process requests for the mandatory review of classified information."
- 2) "Any memos that discuss the procedures or discuss any concerns associated with the processing of mandatory declassification review (MDR)."
- 3) "Any internal reports on the handling of MDR in the agency produced in the last two years, such as annual reports."

Case Number FOIA HQ-2010-01077-F

"A copy of the agency log or listing of Mandatory Declassification Review Requests at the Department of Energy."

The Office of Classification, within the Office of Health, Safety and Security, searched its files and located documents responsive to your requests. I am pleased to provide the requested documents in their entirety. Additionally, two responsive documents, DOE Order 475.2 - *Identifying Classified Information*, and DOE Manual 475.1-1B, *Identifying Classified Information*, are publicly available on the internet at <http://www.hss.doe.gov/Classification/regs.html>.

We have included in our response a DRAFT copy of internal procedures, and several documents which refer to those procedures. Please note that those procedures have not been finalized, nor do these documents represent finalized DOE policy.



There is no cost associated with this request.

Pursuant to 10 Code of Federal Regulation (CFR) 1004.8, the adequacy of a search may be appealed in writing within 30 calendar days of receipt of a letter denying any portion of the request. The appeal should be made to the Director, Office of Hearings and Appeals, HG-1, Department of Energy, 1000 Independence Avenue, SW, Washington, DC 20585-1615. The written appeal, including the envelope, must clearly indicate that a Freedom of Information Appeal is being made. The appeal must contain all other elements required by 10 CFR 1004.8. Judicial review will thereafter, be available to you: (1) in the district where you reside; (2) in the district where you have your place of business; (3) in the principal district where the DOE records are situated; or (4) in the District of Columbia.

You should refer to the above referenced numbers in any correspondence with the DOE about these matters. I appreciate the opportunity to assist you. If you have questions about the processing of the request, you may contact Mr. Fletcher Whitworth, of my staff, at (301) 903-3865.

Sincerely,

A handwritten signature in black ink, appearing to read 'APWD' followed by a stylized flourish.

Andrew P. Weston-Dawkes
Director
Office of Classification
Office of Health, Safety and Security

Enclosures

DEPARTMENT OF ENERGY DOCUMENT LIST
HQ-2010-00852-F and HQ-2010-01077-F

1. Department of Energy, Office of Document Reviews, Office of Classification, Office of Health, Safety and Security Final Version, dated April 10, 2007. Subject: Statutory Reviews Program Operating Procedures. 82 pages.
2. Change Notice 1 to Statutory Reviews Program Operating Procedures, dated October 1, 2007. 5 pages.
3. Status of Mandatory Requests. Status as of 12/22/08. 37 pages.
4. Status of Mandatory Requests. Status as of 8/18/08. 57 pages.
5. E-mail from Jeffrey Smock to Emily Puhl, dated October 8, 2008. Subject: Annual Data for ISOO Report on Classification Management. 1 page.
 - 5-A. E-mail from Nick Prospero to Fletcher Whitworth, dated January 27, 2009. Subject: Letter for MDRs. 1 page.
 - 5-B. Memorandum from Andrew Weston-Dawkes, Director, Office of Classification (undated). Subject: Request for Mandatory Declassification Review – [Reference Number of MDR]. 1 page
 - 5-C. E-mail from Jeffrey Smock to Fletcher Whitworth, dated October 14, 2009. Subject: Annual Data for ISOO Report on Classification Management. 2 pages.
6. E-mail from Nick Prospero to Emily Puhl, dated January 14, 2008. Subject: Mandatory Review Procedures. 1 page.
 - 6-A. E-mail from Lesley Nelson-Burns to Alexander Morris, dated August 25, 2008. Subject: FOIA Fees. 1 page.
 - 6-B. Mandatory Declassification Review Request Procedures, dated August 27, 2008. 5 pages.
 - 6-C. Mandatory Declassification Review Request Procedures, dated August 28, 2008. 5 pages.
 - 6-D. E-mail from Lesley Nelson-Burns to Nick Prospero, dated October 2, 2008. 1 page.
 - 6-E. Mandatory Declassification Review Request Procedures, dated October 2, 2008. 5 pages.

6-F. E-mail from Lesley Nelson-Burns to Nick Prospero, dated October 2, 2008.
Subject: Mandatory Review Procedures. 1 page.

6-G. E-mail from Nick Prospero to Lesley Nelson-Burns, dated October 2, 2008.
Subject: Mandatory Review Procedures. 1 page.

6-H. Mandatory Declassification Review Request Procedures, dated April 10, 2008. 4 pages.

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Subject: Mandatory Review Procedures. 1 page.

6-G. E-mail from Nick Prospero to Lesley Nelson-Burns, dated October 2, 2008.
Subject: Mandatory Review Procedures. 1 page.

6-H. Mandatory Declassification Review Request Procedures, dated April 10, 2008. 4 pages.

FINAL VERSION



Department of Energy

Office of Document Reviews

Office of Classification

Office of Health, Safety and Security

Statutory Reviews Program

Operating Procedures

APPROVED:

_____-signed 04/10/2007-_____
James E. Greening, Team Leader
Statutory Reviews Program
Office of Document Reviews
Office of Classification
Office of Health, Safety and Security

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I. INTRODUCTION

The Department of Energy (DOE) Statutory Reviews Program (SRP) performs classification reviews to protect Restricted Data (RD), Formerly Restricted Data (FRD) and National Security Information (NSI). Protection of RD and FRD is required by the Atomic Energy Act (AEA) of 1954, as amended. Protection of NSI is required by Executive Order (E.O.) 12958, as amended.

The classification reviews performed by SRP are required by Public Laws, E.O.s and Court Orders. Reviews requested under the Freedom of Information Act (FOIA) are required by Title 5 United States Code (U.S.C.) 552, as amended by Public Law 104-231. Mandatory declassification reviews are required by section 3.6 of E.O. 12958, as amended. Patent secrecy reviews are required by Title 35, U.S.C. 552, section 181. Litigation reviews are required by specific Court Orders. Congressional reviews are time-sensitive reviews of material to be presented to Congress. High Priority (HP) reviews are time-sensitive reviews requested by high-level DOE, or other Government agency, officials. Incident Report (IREP) reviews are reviews of time-sensitive Security Issue Papers and Security Incident Notification Reports that must be reviewed for classification prior to being disseminated to the Secretary and other DOE officials. Miscellaneous reviews are all other reviews required to protect RD, FRD and NSI classified information.

Federal regulations and DOE directives require that DOE Headquarters (HQ) and Field Offices send all requests for classified documents, under either the FOIA or the Mandatory declassification review provisions of E.O. 12958, as amended, to the SRP for classification review and/or coordination with other DOE offices and/or other Government agencies. In addition, FOIA and Mandatory requests sent to other Government agencies for review are referred to SRP when those agencies believe the documents contain DOE equities.

II. TERMS AND DEFINITIONS

A list of terms and definitions used in these procedures is included as Attachment A.

III. PURPOSE

These procedures provide detailed instructions for performing page-by-page declassification reviews of documents, to identify all classified or certain sensitive unclassified information for removal, prior to the material being released to the public.

IV. SCOPE

These procedures are to be used by all SRP Federal and contractor personnel. These procedures apply to all SRP declassification reviews unless specific authorization for an exception has been granted by the SRP Team Leader (TL).

These procedures are prepared for the SRP and are not intended for use by other DOE organizations or other Government agencies.

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Statutory Reviews Program
Operating Procedures
April 17, 2009

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V. REVIEWER AUTHORITIES AND LABOR CATEGORIES

A. Reviewer Authorities

1. Derivative Classifier

>>>>Reviews are first trained and certified in writing as a Derivative Classifier (DC), in accordance with DOE Manual 475.1-1, to determine whether a document contains DOE classified information, or verify that a document is unclassified, based on approved DOE classification guidance.

A DC may:

- perform a Quality Assurance (QA) review on a document and/or action;
- prepare correspondence for, and coordinate with, other DOE offices and/or Government agencies;
- prepare complete or partial responses to the initiating office/agency;
- record the coordinate review results of other DOE offices and/or Government agencies on documents;
- perform single reviews when confirming documents to be classified, classify documents previously considered unclassified, upgrade classification levels, and change classification categories when increasing the category of protection from FRD to RD or from NSI to FRD or RD; and
- serve as the first reviewer in two-person reviews, and make recommendations only, including pencil annotations, for review determinations, based on approved DOE classification guidance (e.g., identify and bracket information to be denied in still-classified documents, recommend documents to be declassified or downgraded or determine documents do not contain DOE classified information, etc.).

Although DCs are authorized to perform single reviews when confirming documents to be unclassified, confirming unclassified and unmarked documents as not containing DOE classified information, performing specific declassification reviews with special permission [i.e., Comprehensive Classification Review Program (CCRP)], etc., the SRP has determined that, in these particular instances, the reviews will instead be performed by Derivative Declassifiers (DDs).

A. 2. Derivative Declassifier

After a DC has successfully performed the specific tasks associated with the DC authority, he or she is eligible for the training and examination program to become a DD.

A DD is a person possessing written authorization, in accordance with DOE Manual 475.1-1, to determine that a document marked classified does not contain, or no longer contains, any DOE classified information. In addition to the duties listed above for a DC, a DD may:

- serve as either the first or second reviewer in two-person reviews, and when serving specifically as the second reviewer, finalize in ink the review results annotated on the determination stamp;
- when authorized by DOE, as well as in particular instances identified by the SRP, perform single reviews;
- assist an author in producing unclassified versions of classified documents, including suggesting verbiage changes; and
- change the classification categories when decreasing or removing the category of protection.

B. Reviewer Labor Categories, Change 2

>>>>The DOE Office of Document Reviews (ODR) labor categories consist of both DCs and DDs. Analyst Reviewers (ARs) are certified as DCs. TAR can be a DC and/or DD. The Lead Technical Analyst Reviewer (LTAR/STAR) is certified as a DD. Each reviewer is authorized to perform specific tasks consistent with his or her review authority and labor category.

>>>>Reviewers must complete an extensive training program before they are certified in writing by DOE to review documents in accordance with DOE Manual 475.1-1. The individualized training includes a thorough formal examination program, as well as periodic recertifications.

The training program also prepares the Reviewers to be additionally authorized as Unclassified Controlled Nuclear Information (UCNI) Reviewing Officials (ROs). An UCNI RO is a person authorized in writing by DOE to determine that a document contains, does not contain, or no longer contains UCNI, based on approved DOE UCNI guidelines.

1. >>>>Lead Technical Analyst Reviewer (LTAR)/ Senior Technical Analyst Reviewer (STAR)

>>>>LTAR/STAR must be fully knowledgeable in the area of nuclear engineering technology. The LTAR/STAR must have a minimum of five years of applicable experience, with three years of experience as an AR performing bracketing-type reviews. Additional experience in reactor operation, Special Nuclear Material (SNM) production or processing, and nuclear-related safeguards and security is desirable.

>>>A LTAR/STAR has all the authorities of a DC, DD, and UCNI RO. In SRP, the LTAR is authorized to perform the final contractor technical QA review of all the various classification reviews performed by the SRP. The LTAR/STAR assists in the development and/or review of classification/control guidance and review procedures. The LTAR/STAR also conducts studies and performs analysis on various classification, control, and other related issues.

2. >>>Technical Analyst Reviewer (TAR)

A TAR is required to have a training and experience in nuclear weapon technology. Areas of interest are design and development, testing, production, or output and effects. In addition, it is desirable that the TAR have experience in reactor operation, SNM production or processing, and nuclear-related safeguards and security.

3.>>>Analyst Reviewer (AR)

>>>An AR has been certified as DCs and has authority as Limited Derivative Declassifiers (LDD). In the SRP, an AR performs the same duties as those listed for DC.

VI. TASKING REQUIREMENTS FOR DOCUMENT REVIEWS

When a SRP Federal Action Officer (FAO) needs to have a job performed by a SRP contractor, the FAO will complete a Contractor Job Request form and submit it to the Contracting Officer's Representative (COR). However, document reviews do not require a separate Job Request form for each review; they are covered under one ongoing job request. Each individual action is tasked by a FAO when they approve the task request in the Computerized Action and Tracking System (CATS). This tasking provides specific review requirements, priority assigned to the review, task assignment number, and any special instructions for that particular review.

VII. INFORMATION TO BE PROTECTED

Documents are reviewed to identify classified information and UCNI. Categories and levels of classified information, described in Chapter III of DOE M 475.1-1 and in Sections 141-148 of the AEA of 1954, as amended, are used to determine the degree of protection and control required for classified matter. Information to be protected is enclosed within pencil lines to identify it for deletion before the document is released to the public or to persons who are not authorized access to the information.

Access to classified matter is limited to persons who have appropriate access authorization and who require access to the material in order to perform official duties. Controls established to detect and prevent unauthorized access to classified matter are described in Chapter II of DOE M 471.2-1B.

The following is a brief summary of the categories and levels of classified information. The manuals and documents referenced above provide complete information.

A. Categories of Classified Information

1. **Restricted Data (RD):** All data concerning the design, manufacture, or utilization of atomic weapons; the production of special nuclear material; or the use of special nuclear material in the production of energy, but shall not include data declassified or removed from the Restricted Data category pursuant to Section 142 of the AEA of 1954, as amended.
2. **Formerly Restricted Data (FRD), add paragraph 2:** Information classified under the AEA, as amended, that relates primarily to the military use of nuclear weapons and that has been removed from the RD category by a joint determination between DOE and the Department of Defense.

>>>FRD is jointly identified and defined by DOE and DoD. There is no category "DoD FRD." All documents marked or otherwise determined to contain FRD will be reviewed using the current approved DOE classification guidance. Therefore, if there is a guide topic to justify the bracket, then we may retain, upgrade, downgrade, and declassify FRD information wherever we find it. Also, we may line through any FRD marking wherever we find them if the reviews so dictates. Concerns and issues that do not have guide topics will be referred to HS-92 Technical Guidance. It is a SRP policy to obtain permission from DoD or to coordinate the document with them if they are the originators rather than declassifying it.

3. **National Security Information (NSI):** Information that has been determined under E.O. 12958, as amended, or any previous E.O., to require protection against unauthorized disclosure.

B. Levels of Classified Information

1. **Top Secret:** Information whose unauthorized disclosure could reasonably be expected to cause exceptionally grave damage to the national security that the original classification authority is able to identify or describe.
2. **Secret:** Information whose unauthorized disclosure could reasonably be expected to seriously damage the national security that the original classification authority is able to identify or describe.
3. **Confidential:**
 - a. **RD/FRD:** Information whose unauthorized disclosure could reasonably be expected to cause undue risk to the common defense and security.
 - b. **NSI:** Information whose unauthorized disclosure could reasonably be expected to damage the national security that the original classification authority is able to identify or describe.

4. Other

Some documents that originated before December 15, 1953 may have obsolete classification markings. Before December 15, 1953, documents marked “Restricted” were considered to contain information less sensitive than that classified at the Confidential level, but are nevertheless classified. The same is true for documents marked “Official Use Only” that are dated from July 18, 1949 through October 22, 1951.

These documents must be handled and protected as classified documents until determined by a reviewer to be unclassified. A single review by a DD shall be conducted to determine their current classification status. If determined to be unclassified, the DD shall mark through the “Restricted” or “Official Use Only” markings and sign the first page of the document either under the marked through text or on an appropriate stamp.

Reviewers are cautioned that documents are occasionally found that have markings similar or identical to the obsolete classification markings of “Restricted” and “Official Use Only.” Some of these other similar or identical markings are current classification markings (as compared to the obsolete markings requiring only a single review by either a DC or a DD) or are markings for unclassified but potentially sensitive information.

C. Information Reviewed by SRP

The fact that information is unclassified does not mean that it may be released to the public. Certain categories of sensitive unclassified information must also be protected. The following information describes the categories that are reviewed by SRP and those that fall under the purview of another organization.

1. Information That May be Reviewed by SRP

- a. Unclassified Controlled Nuclear Information (UCNI)**, is DOE sensitive unclassified information whose unauthorized dissemination could reasonably be expected to have a significant adverse effect on the health and safety of the public or the common defense and security by significantly increasing the likelihood of the illegal production of nuclear weapons or the theft, diversion, or sabotage of nuclear materials, equipment, or facilities.

DOE Program Offices and field offices generally review for UCNI, but SRP reviewers will include an UCNI review when they review for RD, FRD, or NSI.

For a description of UCNI and how to protect it, refer to the pamphlet titled “Understanding Unclassified Controlled Nuclear Information”.

- b. Official Use Only (OUO)**, which is designated OUO by a specific classification guide topic will be reviewed and identified by SRP.

2. Other Information that is Not Reviewed by SRP

- a. DOE Sensitive Unclassified Information**

OUO not covered by classification guides, Privacy Act, Export Control Information (ECI), and proprietary information are specifically NOT within the purview of SRP. They will be reviewed by the appropriate Program Office.

- b. DOE Intelligence Information**

Documents that contain DOE intelligence information will be forwarded to the DOE Office of Intelligence for a coordinate review.

c. Navy Nuclear Propulsion Information

Documents that contain Navy Nuclear Propulsion Information will be forwarded to the DOE Office of Naval Reactors for a coordinate review.

d. Other Agency Sensitive Unclassified Information

- 1) **“For Official Use Only (FOUO)”** is a Department of Defense (DOD) marking for unclassified information considered sensitive and subject to withholding. It is essentially the same as the DOE OOU marking for the period of time OOU designates unclassified but sensitive information.
- 2) **“Limited Official Use (LOU)”** is a Department of State (DOS) marking used to indicate sensitive unclassified information that may be withheld by the DOS under the FOIA.

VIII. TYPES OF DOCUMENTS TO BE REVIEWED

A “document” may be a report, memo, or a letter (draft or final), an attachment with or without the accompanying document, a fax or a telegram, meeting minutes, manual or other documentation, a document copied from microfilm, a data base listing or card catalog, film, slide, viewgraph, documents on electronic media, etc. A document may also be an extract from any of these documents. Documents may be typed or hand-written and may contain handwritten marginal notes.

A. Unclassified or Unclassified Controlled Nuclear Information (UCNI) Documents

An unclassified document is not normally marked “Unclassified” unless it is necessary to distinguish it from a classified document. However, UCNI documents should be marked. Some documents that are assumed to be unclassified (“purportedly unclassified”) are referred to SRP for review to confirm that they are unclassified before the document is released or published.

B. Documents Marked Confidential, Secret, or Top Secret

Documents containing classified information are normally marked Confidential, Secret, or Top Secret. These documents are forwarded to SRP for review to ensure that classified or sensitive unclassified information is identified, based on current classification guidance and UCNI guidelines when directed.

Some documents are protected as Secret or Confidential pending review. When the final classification determination is made, the document is marked accordingly.

C. Documents on Electronic Media

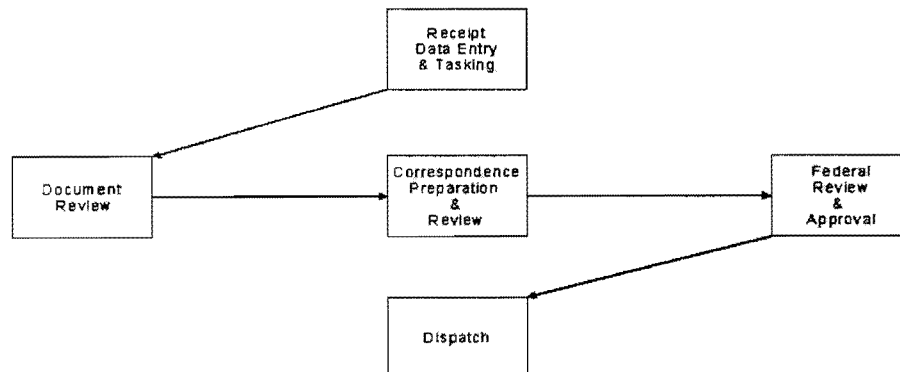
The SRP is currently preparing procedures for using the Classified-Local Area Network (C-LAN) to review documents received on electronic media. When these C-LAN procedures are finalized, they will be included in revised SRP Operating Instructions. In the interim, documents received on electronic media will be printed out and reviewed as paper documents.

IX. Administrative Procedures for Receiving and Dispatching Review Requests

Requests for declassification review are received by the Computerized Action Tracking System (CATS) staff and are logged into the CATS unclassified database. The only exceptions to this are that SCI documents are received in the DOE Office of Intelligence (IN-1) Sensitive Compartmented Information Facility (SCIF) (see section XVI for SCI procedures) and patents are reviewed at the Patent Office and results are then entered into the CATS database after the review is completed. SRP personnel must remember that all information entered into the CATS system must be unclassified. All actions are logged in and dispatched as described in the CATS Guidelines maintained by the CATS staff.

X. SRP WORK FLOW SUMMARY

Most of the SRP work flows through the five major functions shown in Figure 1 and described below. All reporting and tracking is done through CATS. Exceptions to this work flow are Congressional reviews, Patent reviews, University of Rochester reviews and E. O. reviews of Permanently Historically Valuable Collections. The differences in work flow for these actions will be discussed in Section XI that describes those reviews.



SRP WORK FLOW

Figure 1

A. Receipt, Data Entry and Tasking

After the CATS staff has entered the incoming action information into the CATS database, they place the incoming documents and a document attachment form in a color coded folder and take it to a SRP policy analyst (PA). This is true for all actions except Congressional actions (see section XI), top secret actions (see section XVI) and SCIF actions (see section XVII). The congressional actions are not processed through the PA. For the top secret and SCIF actions a PA receives a folder with the incoming correspondence, but without the

documents. The top secret documents remain in the CATS top secret safe until the PA is ready to physically transfer them to the SRP top secret safe. The SCIF documents never leave the SCIF in the Forrestal Building. The folders are yellow for high priority actions, green for DNFSB actions, red for litigation actions, blue for SCIF actions and brown for all other actions.

The PA checks the incoming action to make sure it has been assigned correctly and resolves any problems with the CATS staff or Federal personnel. The PA then performs a duplicate document search, enters tasking information based on the incoming request (including the priority, type of work and suspense date) and action status information into CATS. Priorities are based on the type of action and requested completion date. Priority One (Expedite) requires immediate review, Priority Two (Fast) indicates a specific deadline that is less urgent than Priority One, and Priority Three (normal) indicates the action should be placed in the routine queue of actions awaiting review. The PA then sends the appropriate FAO an e-mail giving the action number and requesting approval of the task request in CATS. Then the PA physically places the action on the Review Action Coordinator (RAC) shelf space in the vault.

The FAO checks the data entered in CATS for correctness and completeness and contacts the initiator if there are any questions about what is needed or whether requested suspense dates are unrealistic. The FAO verifies or changes the priority and suspense date in CATS, adds any necessary additional instructions in the comment box and approves the task request in CATS.

B. Document Review

1. Review Action Coordinator

A person designated as the RAC is the central point of contact for assigning reviews and ensuring that current action status of each action is maintained in CATS during the review process. The RAC looks at the CATS tasking to make sure it is understood and the CATS review history to make sure it is correct. The RAC then enters the current action status into CATS and assigns the action or queues the action until it can be assigned for a first or second review whichever is needed. The RAC assigns actions to reviewers on a first-in, first-out, order based on the date of the original request unless priority and suspense dates dictate otherwise. As reviewers become available, the RAC assigns them an action to review and enters that information into CATS including the AO name and the appropriate activities in the CATS Review History.

2. First Review

The reviewer enters the review activity's start date into the CATS Review History and looks at the CATS tasking to make sure it is understood. The reviewer conducts the review and brackets classified information using a pencil. If only a single review is required, the reviewer:

- Applies the appropriate review stamps to the document and fills them out in ink
- Applies the appropriate classification stamps and markings to the documents
- Fills out correspondence generation template
- Enters the outgoing classification, caveats, determinations, and exemptions in each document in the CATS review history as well as the completion date.
- >>>Takes the action to the LTAR/STAR for the LTAR/STAR quality control checks.

If a second review is required, the reviewer:

- Applies the appropriate review stamps to the document and fills them out in pencil
- Fills out correspondence generation template
- Verifies that the outgoing classification, caveats, determinations, and exemptions in each document have been completed and correctly entered into CATS.
- Enters the review history into CATS
- Takes the action to the RAC for second review assignment.

3. Second Review

The reviewer enters the review activity start date into the CATS Review History and looks at the CATS tasking to make sure it is understood. The reviewer conducts the review and resolves any differences with the first reviewer. The reviewer:

- Applies the appropriate review stamps to the document and fills them out in ink
- Applies the appropriate classification stamps and markings to the documents
- Finalizes the correspondence generation template
- Ensures that the outgoing classification, caveats, determinations, and exemptions in each document has been entered correctly in the CATS review history.
- Enters the completion date in the CATS Review History.
- >>>Takes the action to the LTAR/STAR for the LTAR/STAR quality control checks.

4. >>>Lead Technical Analyst Reviewer/ Senior Technical Analyst Reviewer (LTAR/STAR)

>>>>The LTAR/STAR enters the start date in the CATS Review History and ensures that other data in the CATS review history has been entered correctly. The SDR then performs the final technical completeness checks to ensure that information that needs to be protected is bracketed with the appropriate colored

pencil, review stamps are properly applied and filled out and that classification markings and stamps are correct. The filled out correspondence generation template is reviewed to ensure that it answers the initiator's request and correctly conveys the results of >>>>>the classification reviews. Finally, the LTAR/STAR enters the completion date in the CATS Review History and places the action on the typing shelf in the vault.

C. Correspondence Preparation and Review

SRP administrative personnel take the action off the typing shelf and enter the start date in CATS. The CATS data history is reviewed to ensure that the review actions are in agreement with the information in the correspondence generation template. Any differences are resolved with the reviewer. The correspondence is then typed in accordance with the guidance in the template and reviewer concurrence is obtained on the final correspondence. Then the typing completion date is entered in CATS. The action is then placed on the PA shelf in the vault for the final PA quality control checks.

SRP PA enters the start date into CATS and checks all the CATS inputs one final time for errors. The PA then checks the correspondence for completeness and administrative errors. The PA resolves any errors and updates the CATS review history. Then, the PA e-mails the Federal Secretary, cc to the FAO, that the action is ready for Federal Review. Finally, the PA places the action on the FS's shelf in the CATS room.

D. Federal Review and Approval

1. Federal Secretary QC

The FS picks up the action from the shelf in the vault. The FS then enters the start date in CATS and reviews the action correspondence for compliance with HS correspondence procedures. The FS then initials the chop sheet and enters the completion date in CATS and describes any errors in the CATS comment box. The FS then notifies the FAO that the action is ready for the FAO QC and places the action on the FAO shelf in the vault.

2. Federal Action Officer QC

The FAO picks up the action, enters the QC start date in CATS and looks at the CATS review history to ensure that it is correct. The AO then performs the quality control check using the Federal QC checklist in attachment B to ensure that everything is checked. The date for completion of the QC along with the number of errors detected, if any, are entered into CATS. An unclassified description of any error is also entered into the CATS Federal QC comment box. The AO then initials the chop sheet, notifies the Team Leader (TL) that the action is ready for review and places the action on the TL's shelf in the vault.

3. Team Leader Review and Approval

The SRP TL picks up the action and enters the start date in CATS and looks at the CATS review history to ensure that it is correct. The TL then looks at the correspondence to make sure that it answers the initiator's request and is properly classified, marked and stamped. The TL spot checks the documents that were reviewed to ensure that classification decisions and document stamps, brackets and markings are correct. The TL then initials the chop sheet and signs the documents if the TL has authority to do so. If a higher level signature is required, the TL obtains the higher level signature. Finally the TL enters the action results and completion dates in CATS and takes the package to CATS for dispatch.

E. Dispatch

After receiving the action from the SRP TL, the CATS office:

- Dates the correspondence
- Makes file and cc copies
- Prepares the action for dispatch
- Enters dispatch data into CATS
- Sends file copy to the file room
- Dispatches the action.

XI. Types of Review Requests

A. Congressional Reviews

SRP reviews material from congressional hearings and budget submissions so that any classified or sensitive unclassified material is identified and deleted before the material is made available to the public. Material submitted for review includes advance (draft) copies, final copies, and printers' copies (final version with classified material deleted).

SRP reviews the submitted material, resolves classification issues, brackets classified information, coordinates material with other departments and agencies when necessary, and returns the material to the requester, using the procedures described below.

Congressional material submitted for review receives the highest priority ("Priority One"). Some material requires 24-hour (or less) turnaround. Every effort will be made to meet the requested deadlines including the authorization of overtime work. The SRP work flow process is compressed as described below.

1. Preparing Material for Review

Requesters submit a request form and five copies of the material to be reviewed. (See Attachment C for a sample request form.) Material may be delivered in person, sent by courier, or mailed. All Congressional material is delivered to the SRP Congressional Administrator (CA), who prepares the documents for review.

When the request form and documents are delivered, the CA will:

- a. Note the date and time received on the request form.
- b. Mark one copy “original” (to be returned to the requester), one “file copy,” and stamp the remaining three “Working Copy.”
- c. The administrator will make a page count of the file copy.
- d. Take the original and the file copy to the Computerized Action Tracking System (CATS) office to be recorded in the system.
- e. On the three “Working Copies,” note the deadline and the CA’s phone number. Enter status into CATS and give the working copies to the RAC for distribution to reviewers.
- f. If reviewers identify classified or potentially classified material, schedule a discussion meeting, leaving enough time to bracket the material, stamp the documents or get replacement pages from the initiator, and complete the paperwork before the deadline.
- g. If requested by the FAO, search the previous year’s Congressional files (in the black four-drawer file cabinets in Room G-343) for any earlier version that has already been reviewed. Compare the new version with the earlier version and draw a vertical line next to (or underline) any text that has changed.
- h. When printers’ copies are submitted for final review, compare the new package against all previous hard copies that contain bracketed information to ensure that all deletions have been made.
- i. Enter status and results into CATS as each step is completed.

Attachment D is a copy of the administrative checklist outlining the steps required to complete a Congressional review.

2. Reviewing the Material

Because of the high visibility of the material and the limited time available for the review, three knowledgeable persons are assigned to review Congressional material. Reviewers may be DCs or DDs, and are selected based on their background and area(s) of expertise.

- a. >>>The RAC or the LTAR/STAR will determine which reviewers are assigned, based on the subject matter and current workload. Each reviewer is given a “Working Copy” of the material.
- b. Reviewers will review the material in parallel, bracket all DOE classified or UCNI information, based on current guidance and enter the results into CATS.

- c. When the subject matter requires input from the Office of Technical Guidance (HS-92), the FAO will obtain their input.
- d. Information within the purview of other agencies will be coordinated with those agencies and their comments or brackets will be added before the document(s) are returned to the requester.

3. Coordinating with Other Agencies

- a. When material contains information under the purview of another DOE office or other Government agency, it must be reviewed by the other office or agency. The FAO will alert the other office or agency about the material and the Congressional deadline.
- b. Material will be sent to and returned from the other agency by FEDEX or classified fax, depending on the deadline.
- c. If the other agency determines that there is classified information within its purview, it will bracket their copy and return it to SRP. If it determines that there is no classified information, their reply by fax or courier provides a written record of their response.

4. Discussion Meetings

- a. With all reviewers present, the FAO will discuss any questions, problem areas, guide topics used to resolve issues, etc.
- b. The CA will bracket the file copy during the discussion meeting and will transfer those markings to the original after the meeting.
- c. The FAO and review team will determine the appropriate classification level and category for all documents reviewed.

5. Completing and Delivering the Material

- a. The CA will stamp the first page of each document with the classification category (RD or FRD), and will stamp each page of the document with the appropriate classification level (Unclassified, Confidential, or Secret).
- b. The Administrator will complete a cover memo form to be returned to the requester. Each reviewer and the FAO will initial and date the form. A sample cover memo form is shown in Attachment E.
- c. The Administrator will give the original copy of the material and the completed cover memo to the Statutory Review Program Manager for

review and signature. A copy of the signed cover memo is kept with the file copy.

6. Returning Material to the Requester

- a. A requester located in Germantown may pick up the material in person, the CA or FAO may deliver it to the requester, or the requester may ask to have unclassified material sent through interoffice mail.
- b. A requester from another facility may pick up the material in person, have a staff member pick up the material, or ask to have the material mailed or sent by courier.
- c. Occasionally, a member of the review team hand-carries the material to the requester at another facility (for example, when a review extends into the evening or weekend). The FAO will coordinate this responsibility.
- d. The CATS office will dispatch all classified material.

7. Closing the Action

- a. Take the completed file to the CATS office to close the action. They will return the file to the CA after dispatch.
- b. Files from the current year and the previous two years are kept for reference in the black file cabinets located in G-343.
- c. Files older than three years are given to the CATS office. They will transfer the files to the file room.

B. Defense Nuclear Facility Safety Board (DNFSB) Reviews

The Defense Nuclear Facilities Safety Board (DNFSB) is chartered by Congress to monitor and report on the safety of the nuclear weapons complex. DNFSB prepares a number of reports and other material intended for public release concerning the operation of nuclear weapons-related facilities. To ensure that classified and/or controlled information is not inadvertently released in these publications, DNFSB provides draft versions to SRP for pre-publication review.

SRP reviews DNFSB material through our normal work flow process to identify all classified and/or controlled information (Restricted Data, Formerly Restricted Data, National Security Information and Unclassified Controlled Nuclear Information). When such information is found, SRP works with DNFSB to develop alternate wordings to allow DNFSB to publish its reports without revealing classified or controlled information. DNFSB drafts are treated as “privileged” communications by SRP. Access is restricted to the minimum number of people who need to see the documents to accomplish SRP’s reviews. All personnel who have access to DNFSB materials sign a “close hold” log which accompanies every DNFSB review action.

There is often also a need to have these DNFSB materials reviewed by the National Nuclear Security Administration (NNSA), the Office of Environmental Management, or the Office of Laboratory Operations and Environment, Safety and Health, depending on the facility concerned to ensure that its unique security-related unclassified Official Use Only equities are protected. As soon as practical upon receipt of materials from DNFSB for prepublication review, SRP will, when necessary, forward a copy to the appropriate office for review. A representative from NNSA will review DNFSB material for unclassified NNSA security related equities and will respond to SRP. If NNSA identifies information that should not be published, they will suggest alternate wording in their response to SRP. NNSA will strive to meet DNFSB deadlines (often 24 hours or less). Inability to meet DNFSB deadlines shall be identified to SRP for discussion with DNFSB. The Office of Laboratory Operations and Environment, Safety and Health would also respond to SRP after its review. However, the Office of Environmental Management responds directly to the DNFSB. Program office personnel will consider all DNFSB material close hold; limit access only to personnel directly involved in the review process; and minimize the number of people involved in the review process. A "Close Hold Document Access" form will accompany each review request. Each person with access to the review will sign and date the form.

C. Freedom of Information Act (FOIA) Reviews

SRP receives requests from DOE program offices, field offices and other Government agencies for document reviews under the provisions of the FOIA. SRP usually gives these reviews a normal work priority (priority 3). SRP reviews the submitted material, brackets classified information, resolves classification issues, coordinates material with other DOE departments and Government agencies when necessary, and returns material to the initiator as described in Section X.

In accordance with the Electronic FOIA Amendments of 1996 FOIA requests are assigned in chronological order by date of the request. Priority can be given to a FOIA request only for a compelling need, defined as: 1) a delay that would pose an imminent threat to an individual's life or physical safety, or 2) an urgency to disseminate information to the public.

As allowed by the Electronic FOIA Amendments of 1996, SRP has designed a multi-track system to expedite FOIA requests that can be completed in a short period of time. Each track is assigned based on the date of the request (first in, first out).

The RAC assigns a FOIA action from either Track A (for normal complex reviews) or Track B (the "Fast Track," for small or uncomplicated actions), based on the experience of the reviewer and the content of the documents to be reviewed. Where practicable, the RAC assigns three actions from Track B for every action from Track A.

D. High Priority Reviews

SRP receives requests from high level DOE and other Government agency officials for time sensitive document reviews. SRP gives these reviews a high work priority (priority

1). High Priority reviews follow the normal SRP work flow where SRP reviews the submitted material, brackets classified information, resolves classification issues, coordinates material with other DOE departments and Government agencies when necessary, and returns material to the requesting office or agency.

E. Litigation Reviews

Litigation reviews are required by specific Court Orders seeking evidence in litigation cases involving DOE and/or its contractors. SRP gives these reviews a work priority based on the suspense date levied by the Court. Most litigation reviews are given a high work priority and follow the normal SRP work flow. SRP reviews the submitted material, brackets classified information, resolves classification issues, coordinates material with other DOE departments and Government agencies when necessary as described in Section X. However, most litigation reviews also required that the classification guide and topic number be placed inside the SRP brackets in case a Vaughn Index needs to be generated for the Court. Also, when the review is completed, the material is usually sent to the DOE General Counsel's office for privacy reviews and sanitization before the General Counsel's office provides it to the Court. The FAO will spell out any such requirements on the Document Review Task Form.

F. Mandatory Reviews

Mandatory reviews pertain to classified documents requested under section 3.6 of E.O. 12958, as amended. They are usually sent to SRP from a Presidential Library. SRP gives these reviews a normal work priority (priority 3). SRP follows our normal work flow to review the submitted material, bracket classified information, resolve classification issues, coordinate material with other DOE departments and Government agencies when necessary, and return material to the requester as described in Section X.

G. Patent Reviews

Patent Reviews include screening of patent documents at the Patent and Trademark Office (PTO) that the PTO has identified as possibly containing DOE equities as well as the annual review of patent secrecy orders maintained by the DOE Office of General Counsel and tracked in PACAS. The PACAS database is used for initial screening during the annual review to determine if patents under patent secrecy orders can be removed from the secrecy order. A reviewer or a FAO conducts the reviews and travels to these sites to conduct the screenings or obtain the information to be screened on compact disks. During the screening, the reviewer will confirm that the patents screened contain no classified DOE information or request that a copy of the patent be forwarded to SRP for a more detailed review. When a copy of a patent is forwarded to SRP for a thorough review, SRP reviews the submitted material, brackets classified information, resolves classification issues, coordinates material with other DOE departments and Government agencies when necessary as described in Section X. If the patent contains no DOE classified information the PTO will be notified of the result. If a patent secrecy order is required, a memo recommending such action will be sent to the General Council's office along with the supporting documents and the patent will be entered in PACAS.

H. University of Rochester Reviews

SRP receives documents for review from the University of Rochester. These documents have already been reviewed by the classification officer at the University of Rochester. Currently we are only reviewing 1 in 10 of these documents for quality control purposes. This rate can, and will be, changed if errors are detected.

I. Miscellaneous Reviews

Requests for declassification review that do not fall into any of the above categories are grouped into a category called "Miscellaneous Reviews." This may include draft reports or correspondence, manuscripts, site reports, purportedly unclassified documents, etc. Miscellaneous requests may be assigned a priority one, two, or three, depending on the urgency of the request. SRP reviews the submitted material, brackets classified information, resolves classification issues, coordinates material with other DOE departments and Government agencies when necessary, and returns material to the initiator or forwards it to the appropriate DOE program office for further review and reply to the initiator.

J. E. O. Reviews of Permanently Historically Valuable Collections

As documents that have been determined to have permanent historical value become 25 years old, they must be reviewed to determine if they can be declassified. Documents not reviewed are automatically declassified. SRP conducts systematic reviews on DOE documents that meet these requirements and Other Agency documents that have been referred to us since it is believed that they contain DOE equities. Complete procedures for these reviews are contained in NSI-004.

XII. HANDLING AND PROTECTING DOCUMENTS

SRP usually receives a photocopy of a document. Reviewers place markings, such as exemption notations and classification stamps, directly on the photocopy, but must be careful not to place the review stamp over any information on the document. Keep the work copy with the original document when the package is returned to the initiator.

Reviewers must not place markings on the copy of newspaper articles submitted for review or other open source documents (including documents sent by a private citizen or non-Government organization). The reviewer should create a photocopy and make normal markings on the copy.

Occasionally, SRP receives original, one-of-a-kind documents that have historical significance. These documents may be faded and/or fragile, and must be handled carefully. In such cases, reviewers will make a photocopy and place any markings or stamps on the photocopy. Do not mark or stamp the original document.

XIII. THE REVIEW PROCESS

When a review action is assigned, the reviewer is required to read each word in every document they are tasked to review. Reviewers do not scan or rapidly read a page; they must carefully read each document, looking for information, associations, implications, etc. that require protection.

The reviewer has the primary responsibility for bracketing documents and ensuring that reviewer stamps, correspondence, and all administrative paperwork is complete and correct.

IT IS IMPORTANT TO NOTE that once an action has been completed and signed by the appropriate Federal Staff, no changes may be made in bracketing in any document by any reviewer without prior consultation and concurrence by the appropriate Federal staff member. In such cases, a short Memorandum for Record (MFR) shall be prepared and filed with the action.

A. Beginning a Review Action

A reviewer performs the following procedure to start the review and verify that the package is accurate and complete:

1. Enters the review start date in CATS.
2. Examine the CATS data and transmitting correspondence to verify that key data is correct, that titles and agency associations are unclassified, and discuss and resolve any errors or omissions with the SRP PA;
3. Identify the origin and history of the request and determine what is being requested. Identify any potential problems that might be encountered during the review, such as a classified association that could be inadvertently revealed by identifying subject matter (including document titles) that is normally unclassified but becomes classified when identified as being responsive to the request for documents;
4. Read the "Previously Reviewed Document Listing" to determine whether any of the documents in the action were previously reviewed by SRP. Information from a previous review may provide vital information for the current review. The reviewer will obtain any related file from the HS-90 file room;
5. Consider any previously-reviewed documents when performing the current review (for example, to ensure that information previously released in a FOIA request is not protected in a later review).

B. Performing a Single Review

Documents that are purportedly unclassified will generally receive a single review by a DD to verify that there is no DOE classified information in the document. However, if the reviewer determines that a purportedly unclassified document contains classified information, a second reviewer (also a DD) must also review the document. When

possible, for newly originated documents undergoing pre-publication review, the reviewer may suggest revised (unclassified) text and then confirm that the substitution is unclassified.

A purportedly unclassified document generally does not require review by another DOE organization or an outside agency. However, if the reviewer determines that a coordinate review is required, the reviewer will follow the procedures in Section XIX.A, "Coordinate Reviews." In this event, the document is no longer considered unclassified and is marked "Handle as (insert classification level and category) pending formal classification review."

In addition to the procedure described in Section A, the reviewer will:

1. Determine whether document(s) contain information requiring review by another agency;
2. Obtain guidance clarification as needed from the Classification Guidance System (CGS), paper guides, Senior Reviewer(s), other knowledgeable reviewers, and/or the Office of Technical Guidance.
3. Fills out the correspondence generation template or draft the correspondence using a word processing application.
4. Stamp review results on document(s) and correct markings if necessary except for newspaper articles or other open source documents referred for review.
5. If a document needs to be bracketed, follow the below procedures for a two-person review.
6. Record review results and review history in CATS.
7. >>>Deliver the package to the RAC if a second review is required or to the LTAR/STAR if a second review is not required.

C. Two-person Reviews

Documents SRP receives that are marked as classified or suspected to contain classified information and needs to be declassified or bracketed are given both a first and second review.

The first reviewer may be either a DC or a DD, but the second reviewer must always be a DD.

Before referring documents to SRP for review, field sites conduct the first review, bracketing those portions containing information that is still classified. SRP will conduct the required second declassification review and make the final classification determination. The second reviewer will resolve any disagreements with the field

reviewer. If resolution can not be obtained, the second reviewer will discuss the issues >>>with a LTAR/STAR to make final decisions. The resolutions and/or final decisions will be documented in a MFR. The second review can be performed by a DC only when the field's first review was performed by a DD.

1. First Review

The first reviewer will complete the steps described in performing a single review above except that the findings on the stamp will be filled out in pencil and the markings on the document will not be changed. After the first review is complete, the action is taken to the RAC to be assigned to a Second Reviewer.

2. Coordinate Reviews, add paragraph 2, 3, 4

If the first review determines that a document contains other agency equities, then that document must be sent to that agency for a coordinate review. This can be done in one of two ways. For single agency coordination, it can be done before the second review with a request for a coordinate review and response to SRP. It can be done after the second review with the results of the DOE review included and a request for the other agency to provide the results of the DOE review to the requester along with their determinations. Normally, the latter method is preferable so the action can be closed without waiting for the coordinate review to be returned.

>>>The first reviewer prepares the correspondence for the coordinate review request. The LTAR/STAR or equivalent, quality checks the action to ensure all coordinations are included. The action then follows the normal work flow to the Federal Officer for a quality check and signature. A second review of the action is not done until after the coordination responses have been received and incorporated into the action.

>>>The due date for final completion (review and Federal Officer QC) of FOIA/Mandatory coordinated actions is 80 days from the receipt of the last coordinated response.

>>>If a FOIA/Mandatory Review completes coordination and is more than 2 years old from the date of the requester's letter, then the action is handled on an expedited basis. The Federal Action Officer will make a determination of the due date based upon the size and complexity of the action. The due date for expedited completion of such coordinated reviews is generally 30 days from the receipt of the last coordinated response.

3. Second Review

When the first review has been completed, the RAC will place the action in the "Second Review" queue until it can be assigned to an available second reviewer. The RAC uses the same criteria for assigning second reviews as described in the section for assigning first reviews.

When an action is assigned, the second reviewer will:

- a. Enter the start date into CATS and ensure that the CATS review history is correct.
- b. Perform an independent review of each document in the action.
- c. Identify any additional agency coordination that may be required.
- d. Obtain guidance clarification as needed.
- e. Resolve any bracketing differences with the first reviewer.
- f. Change classification markings as appropriate.
- g. Ink in the determinations on the review stamp.
- h. Countersign all declassification stamps.
- i. Ensure that the correspondence generation template or the draft correspondence is correct and satisfies requested actions.
- j. Record review results and action status in CATS
- k. Delivers the action to the SDR for the SDR quality control checks.

D. Reviewing Open Source Documents

Open source documents such as newspaper or magazine articles, documents found on the Internet, and documents from private citizens or nongovernmental organizations are frequently sent to SRP for a classification review. ("Nongovernmental" means any organization that is not a Federal Government organization.)

If a classification review and/or analysis of an open source documents is required, review results and/or analyses must be recorded in a separate memorandum or by separate notes. Reviewers DO NOT make any markings on the incoming copy; always make a copy of the article for review purposes.

Reviewers must be alert for classification concerns regarding listings of attachments, CATS listings, and subject lines of memos for the record, and determine if the transmittal memo is properly marked. In some cases, a document may require upgrading and CATS data may need to be changed.

E. Reviewing Illegible Material

On occasion, a document submitted for review may contain portions that are illegible.

Because illegible material in documents might be recoverable using techniques not available to reviewers, special precautions must be taken to protect this information. In such cases, the reviewer should make a reasonable effort to determine the content of the material. If the reviewer can not determine the content the illegible material will be bracketed. If the entire document is illegible, it will be returned to the initiator with a statement that it was not reviewed because it was illegible.

F. Neither Confirm Nor Deny (NCND) Responses

On occasion, simply acknowledging the existence of any record responsive to a request reveals classified information or foreign Government information provided in confidence to the U.S. Government. In such cases, reviewers will reply with a NCND response which neither confirms nor denies the existence of any requested documents. The reply to the requester must be sent by the Authorizing Official with primary responsibility for custody of the requested records (the office to whom the request was referred) and will include appeal information. Attachment F contains sample correspondence.

G. No Comment Policy

DOE classified information is normally protected by preventing unauthorized dissemination. However, there are occasions when DOE classified information appears without authorization in the public domain. In such cases, commenting on the information, or attempting to prevent its further dissemination, could result in greater damage to the national security than would occur if no comment is made about the information. When this occurs, reviewers will reply to the requester using the “no comment” policy. For details on this policy, see “Classification Bulletin GEN-16: No Comment Policy for Classified Areas.”

H. Unclassified Controlled or Sensitive Information

Reviewers bracket unclassified controlled or sensitive information to identify information that must be deleted before a document is released to the public or uncleared persons. As they bracket information, reviewers also annotate the appropriate exemptions in the margin adjacent to each bracket. The marginal annotations refer to the appropriate exemptions under the FOIA [e.g., b(1) or b(3)], or the basis for classifying and/or withholding information under E.O. 12958, as amended (such as 1.5a, 1.5b, or 6.1a for RD/FRD and UCNI).

I. Classification Determinations

1. Classification Retained

Although a DC is authorized to determine whether a document contains DOE classified information, based on approved DOE classification guidance, within the SRP as part of a one-person review this is done by a DD. Documents containing classified information that corresponds to the classification markings on the document are stamped “Classification Retained.”

2. Classification Upgraded

Both a DC and a DD are authorized to determine whether a document contains classified information at a higher level and/or category than the classification markings on the document. Within the SRP as part of a one-person review, this must be done by a DD. Such documents are re-stamped at the higher level and/or category as appropriate. Previous markings are lined through, but not obliterated.

3. Classification Downgraded

A DD has the authority to downgrade the classification category and/or level of a document. When a DD as part of a two-person review determines that a document contains information that is classified at a lower level than the classification markings on the document, the document is re-stamped at the lower level. Previous markings are lined through, but not obliterated.

4. Classification Canceled

A DC may recommend declassification but is not authorized to declassify any document. A DD has the authority to declassify documents. When a DD, as part of a two-person review, determines that a document contains information that is no longer classified, the previous markings are lined through, but not obliterated, and the seven line stamp is completed.

5. Document Confirmed to be Unclassified

A DC is authorized to verify that a document is unclassified, based on approved DOE classification guidance. Within the SRP, as part of a one-person review, this must be done by a DD. If a document marked "Handle as (insert classification level and category) pending review" is determined to be unclassified, the "pending" markings are crossed out and the document is stamped "Confirmed to be Unclassified."

6. Document Determined to Contain UCNI

All SRP DCs and DDs are authorized UCNI Reviewing Officials who may determine if a document contains, does not contain, or no longer contains UCNI. Refer to DOE Order 471.1, "Identification and Protection of Unclassified Controlled Nuclear Information" for details of UCNI reviews. Within the SRP, as part of a one-person review, this determination must be made by a DD.

XIV. APPLYING CLASSIFICATION GUIDANCE

The process of determining whether specific information is classified or unclassified is based on classification guidance. Examples of guidance include program guides, topical guides, local guides, classification bulletins, and change notices. Other supporting documentation includes documents that are not classified, such as official histories, site profiles, notes from technical seminars, DOE documents, etc.

- Headquarters guidance issued by the Director of the Office of Classification covers information for which DOE is responsible.
- Joint guidance, issued by the Director of the Office of Classification in coordination with officials from other Government agencies or foreign countries, covers information for which DOE and other Government agencies or foreign countries are responsible.
- Local guides, issued by DOE Field Offices or contractors and approved by the Director of the Office of Classification provide detailed direction in specific technical areas.
- Program guides have been developed for work involving two or more field offices or cooperative work with another Government agency.
- Classification Guides and associated Bulletins are written and issued by the Office of Technical Guidance to provide consistent classification and declassification decisions. They are continually updated to be as accurate and complete as possible.

- Classification bulletins, issued by the Office of Technical Guidance, provide immediate information about recent decisions or modifications to previous policies and practices. The information is subsequently integrated into one or more classification guides.
- Change notices, issued by the Office of Technical Guidance, revise information contained in a specific classification guide.

For classified information, the guidance provides the classification level and category. For information classified as NSI, the guidance also provides a concise reason for classifying the information and prescribes declassification instructions or the category for exemption from automatic declassification for each element of information.

A. Finding Appropriate Guidance

Reviewers obtain guidance clarification as needed from the Classification Guidance System (CGS) on our classified LAN, printed classification guides, Senior Reviewers, other knowledgeable reviewers, and/or the Office of Technical Guidance and/or other appropriate resources.

1. The Electronic Classification Guidance System (CGS) for Windows

CGS is a computer tool that provides the full text of over 1000 guides and bulletins in a searchable database. SRP reviewers may access the CGS on our classified local area network (C-LAN). Reviewers use CGS to search for words, numbers, or phrases in one or more guides as they review classified documents.

2. The Office of Classification (OC) Reference Library

The OC Reference Library was established for the use of newly-hired DRs as they progress through the individualized training program. The library contains paper copies of the Training Program list of Reading Requirements, plus the most frequently-used and newly-issued classification guides. The library has become a valuable source of information for all reviewers. Guides may be used in room G-347, or signed out for a reasonable time.

3. >>>LTAR/STAR

>>>LTAR/STAR has a thorough knowledge of nuclear weapon design, manufacturing, and material fabrication. They are certified DDs with experience in the areas of nuclear weapon technology, such as nuclear weapon design and development, nuclear weapon testing, nuclear weapon production, and nuclear weapon output and effects. They have additional experience in the following areas: reactor operation, special nuclear material production or processing, and nuclear-related safeguards and security.

Other reviewers also have knowledgeable in specific fields of nuclear weapon technology, such as nuclear weapon design and development, manufacturing, material fabrication development, nuclear weapon testing, nuclear weapon production, and/or nuclear weapon output and effects.

These reviewers are an additional source of information and are available for advice and clarification of issues.

B. Inconsistent Guidance

Guidance may be inconsistent for three reasons, and each reason requires a different action.

1. **Ambiguous Guidance.** When information is described equally well by more than one topic but the reviewer is uncertain about which topic applies, the most restrictive guidance applies until the issue is clarified.
2. **Outdated Guidance.** Because it is difficult to simultaneously revise all guidance, some guidance may specify different classifications for the same information. The guidance with the most current date shall apply.
3. **Conflicting Guidance.** When the same information is classified differently in separate guidance and neither appears to be more current or authoritative than the other, the most restrictive guidance applies until the issue is clarified.

C. Questions About Guidance

If a reviewer has questions concerning classification guidance, he or she should first discuss the issue(s) with the RAC, senior reviewers, and/or other knowledgeable reviewers.

D. Application of “No Elaboration” Topics

In the course of reviewing documents, there are circumstances where a topic cannot be found that precisely addresses information in portions of a document, but the guidance covers the information in a broad context. These occur when there are topics that specify only a very limited amount of information about a subject area is classified, but with no elaboration allowed. This does not mean reviewers should believe guidance does not exist for the information. The “no elaboration” is explicit guidance and is to be applied quite generally as a basis to determine if documents or portions of documents addressed by the topic are classified.

However, it is fairly common for a reviewer to find a topic stating that only a very general statement in a subject area is unclassified, with no elaboration, yet find a number of additional topics in the subject area indicating certain other information is also unclassified, even though the root topic says there can be “no elaboration.”

Reviewers should apply guidance topics carrying a “no elaboration” limiter as explicit guidance to be applied broadly to classify information in the subject area addressed.

However, where explicit current guidance topics indicate information is unclassified, reviewers must not apply the “no elaboration” limiter of another topic to the information addressed by the additional “U” topic.

XV. STAMPING OR MARKING DOCUMENTS

A. Reviewer Stamps

Each reviewer is provided with a set of stamps, a stamp pad, and black or red stamp pad ink. When a document is reviewed, a reviewer stamp is placed on the document (except open source or historical documents) to provide a permanent record of the review determination.

1. Placing Stamps on a Page

Stamps should be placed where they are easy to locate and are readily visible. A stamp should not damage a document or cover any part of the image or text. Stamps are normally placed on the first page of a document. Exceptions:

- a. If a stamp must cover a small amount of text, place the stamp at an angle to help distinguish it from the text.
- b. If a document’s front page is black with white lettering, or a stamp will not be discernible, place the stamp on a white self-adhesive label and place the label on the page.
- c. If there is no room for a stamp on the front page, place the stamp on the back of the first page of the document and state where the stamp is located in the response letter.
- d. Bound reports are stamped on the cover, if it will accept a stamp; if not, place the stamp on the interior title page.
- e. If a document contains extra or flimsy title pages, place the stamp on both the first sheet and on the first intact page. Both review stamps will reflect the same information.

2. Making Corrections on a Stamp

- a. If the wrong stamp is used, place the correct stamp on a white self-adhesive label and place the label over the incorrect stamp.
- b. If the review determination changes, carefully apply correction tape over the markings, let it dry, and mark the new information. If this method does not work, place the stamp on a white self-adhesive label and place the label over the incorrect stamp.

3. The Reviewer's Responsibilities

It is the reviewer's responsibility to make sure documents are properly stamped, the reviewer's stamp is properly filled out, cross-outs are initialed, and downgraded or upgraded documents are stamped with the proper classification level and category.

B. Stamping or Marking Classified Material

The procedures for stamping or marking classified material are described in the U.S. Department of Energy "Classified Matter Protection and Control Marking Handbook".

Use the current version of the manual to obtain procedures for:

- Marking the classification level and category,
- Marking documents containing mixed levels and categories,
- Classification and portion marking on newly generated documents,
- Classifying unmarked or "unclassified" marked documents,
- Markings used for foreign Government and North Atlantic Treaty Organization (NATO) information,
- Re-marking documents that are upgraded or downgraded,
- Handling or transmitting classified material inside or outside DOE facilities,
- How to handle the loss, compromise, or unauthorized disclosure of classified information,
- How to mark special documents such as photographs, film or video tapes, transparencies, slides, and recordings,
- Marking subjects or titles,
- Caveats, including limitations on dissemination and reproduction, and
- Markings associated with atomic weapons or nuclear explosive devices [Sigma and Critical Nuclear Weapons Design Information (CNWDI)].

DOE Order 471.2A, "Information Security Program" provides additional information on the classification markings of documents and should be consulted if there are questions on this subject.

Some clarifications are included here to ensure that all reviewers use consistent procedures.

1. Marking a Document's Overall Classification Level and Category

A document's overall classification level (Top Secret, Secret, or Confidential) must be marked on the top and bottom of the cover page (if any), on the title page (if any), on the first page, and on the outside of the back cover or last page. The classification level is either stamped or affixed by a sticker. When marking is not practical, written notification of the markings is furnished to the recipient. Each interior page of a classified document must be marked top and bottom with the highest classification level (or unclassified) of that page OR the overall classification of the document. These markings must be clearly distinguishable from the text.

The overall category (if RD or FRD) of a document must be marked on the cover page (if any), title page (if any), and first page of text. For interior pages, the symbols “RD” and “FRD” may be used. Each page of a document containing RD or FRD must be marked top and bottom with the appropriate level and category (e.g., “SECRET/RD”). (Remember that a DOE document containing FRD may require coordination with the DOD.)

There are several rules to follow when marking a document:

- A second reviewer (but not a first reviewer) may line through the previous classification level and category marking(s) on most DOE documents.
- A reviewer may line through the RD category on any document.
- A reviewer may not line through the classification level on other-agency documents unless the other agency has concurred that the document may be declassified.
- Documents containing only NSI need not be marked with the NSI category marking.

2. Mixed Levels and Categories

A classified document containing a mix of levels and categories must be marked at the highest level and category. However, when a classified document contains a mix of levels and categories that cause it to be marked at an overall level and category higher than the protection level required for the individual portions, a matrix may be used in addition to other required markings. See DOE M 471.2-1B, “Manual for Classified Matter Protection and Control,” for a complete description of a marking matrix.

3. Marking Newly Generated Documents

When a classified document is originated, one of the requirements in applying classification markings is to specify the basis for classification. For derivatively classified documents, the front of the document is to indicate which guide or source document was used as the basis for derivative classification and the date for the guide. Title 10, Code of Federal Regulations, Part 1045 (10 CFR 1045), Nuclear Classification and Declassification, does not explicitly state what date should be indicated, the basic issue date or the date of the latest change. SRP uses the basic issue date.

4. Portion Marking NSI Documents

All NSI documents, including both originally and derivatively classified documents, created by DOE or its contractors, must be portion marked in accordance with the booklet titled "Guide to Portion Marking Documents and Material," dated December 1996.

5. Documents Classified from Multiple Sources

When a document is derivatively classified on the basis of more than one classification guide or source document, the "Declassify On:" line must reflect the longest classification duration of any of the sources.

6. Documents Marked with "Originating Agency's Determination Required (OADR)" or "Group 1, 2, etc."

E.O. 12958, as amended eliminated the indefinite duration of classified NSI. In general, NSI is to be classified no longer than 10 years, although there are some exceptions allowing classification beyond 10 years. However, E.O. 12958, as amended does allow for the continued classification of information that was classified under predecessor Executive Orders. Specifically, information marked "Originating Agency's Determination Required (OADR)" under E. O. 12356 may remain classified until automatically declassified under the provisions of E.O. 12958, as amended or until it is reviewed and declassified by proper authority (e.g., a FOIA review).

The OADR declassification instruction may not be used on documents generated after October 16, 1995. Documents generated under previous E.O.s do not have to be remarked. SRP reviewers, as derivative classifiers, may occasionally generate NSI correspondence that will require an indefinite classification based on extraction of information from a source document classified under a previous Executive Order, perhaps because there is no guidance consistent with E.O. 12958, as amended. When this occurs, it is not proper to simply carry forward the "OADR" marking from the source document to the "Declassify On" line of the new correspondence. Instead, the "Derived From" line should indicate the title and the date of the source document, and the "Declassify On" line should specify "Source marked OADR." This marking will help determine when the classified document is 25 years old and, if permanently valuable, when it is subject to automatic declassification. An example might look like this:

Derived From: NSC ltr, J. Signer to Siebert, dated 11/11/88
Declassify On: Source Marked OADR
Date of source: October 20, 1990

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7. Marking DOE Equity Found in Other Agency Originated Documents

When we receive a coordinate review request from another agency for a document originated by others (not DOE or DOE initiated), we will follow the steps below:

- a) Review, bracket, and add exemptions to the document according to the current SRP/SOP (This document).
- b) Possible category changes
RD---retain, change to FRD or NSI,
FRD--retain, change to RD or NSI, and
NSI---change to RD or FRD. We cannot declassify another agency document without written permission.
- c) You will change the classification level of the pages containing DOE brackets, if the level of DOE equity is higher than the one shown. Stamp top and bottom of the page with the correct level and category. Remove obsolete markings.
- d) Show final decisions on the SRP 7 Line stamp. On Line 7-other, note the level and category of DOE information

We are not permitted to lower the classification level of another agency document without written permission and we do not change markings on other interior pages that do not contain DOE equities.

- e) If the DOE markings change the level and category of the entire document, correct the cover page and the first page of the document. Line through obsolete marking and add the correct marking to the top and bottom of the cover page, and the top and bottom of the first page. Add the over-all classification level to the top and bottom of the back of the last page but not the category.
- f) Line through obsolete admonishment stamp on cover page and add the correct one.
- g) By DOE standards, some incoming documents have questionable classification levels. To these CATS has added a "Handle as ..." cover sheet. If necessary the second reviewer should remove it and add the appropriate cover sheets.
- h) One should also note in the out going correspondence --special considerations - that the requesting agency is to update or change all copies of the document in their possession. This letter is their authority from us to make such changes.

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8. Marking DOE Equity Found in DOE Originated Documents Held by Another Agency
- a) Review, bracket, and add the exemptions to the document according to the current SRP/SOP (This document).
 - b) Possible category changes
RD---retain, change to FRD or NSI, declassify
FRD--retain, change to RD or NSI, declassify, and
NSI---retain, change to RD or FRD, declassify. .
 - c) Mark documents so as to meet current DOE Marking Handbook Version 1.0 or later and current practices. See XVB-1 page 33 of SRP/SOP, this document.
 - d) Show final decisions on the SRP 7 line stamp.
 - e) On the document, line through obsolete markings (RD/FRD) (Secret/Confidential).
 - f) If obsolete, line through the admonishment stamp on cover page. Place the proper admonishment stamp on the cover page.
 - g) Mark the top and bottom of the cover page and first page of the document with the highest classification level in the document.
 - h) All interior pages are marked with the highest classification level and category of information in the document, as a preferred practice, unless it is determined by the Federal Officer, that it is more appropriate to mark each interior page based upon its content.
 - i) Mark the top and bottom of the back of the last page with the highest classification level in the document, but not the category.
 - j) By DOE standards some incoming documents have questionable classification levels. To these CATS has added "Handle as ..." cover sheets. The second reviewer should remove them and add the appropriate cover sheets.
 - k) One should also note in the out going correspondence --special considerations - that the requesting agency is to update or change all copies of the document in their possession. This letter is their authority from us to make such changes.

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XVI. REVIEWING TOP SECRET (TS) ACTIONS

>>>Top Secret Materials (TSM) are received in the CATS Room and they are stored in the CATS safe. CATS assign and action number to the incoming request. Each document in the action documented as shown below:

TS Document	Action #, TS Accountability # per current TS handling and accountability procedures, and a Document #
Non-TS Documents	Action # and Document #
Correspondence	Action # and Document #

A package is generated that is made up of the Non-TS documents, the Non-TS correspondence, and a document list. The action with the task sheets and CATS generated materials, but without the TSM, is prepared and given to the SRP PA (TSCO). After completing the required paperwork, the TSCO transferred the paperwork to the Review Action Coordinator (RAC) who assigns the first reviewer. Detailed SRP safeguarding and accountability procedures for handling TSM are described in attachment L, "Procedures for the Storage, Handling, and Security of Top Secret Materials within the Statutory Reviews Program, 3rd Floor G-Wing Vault.

The G-Wing vault has not been authorized for TS discussions. There is no secure communications equipment authorized for TS transmission from the vault. There is no copying equipment authorized for reproduction of TSM, nor any computer system authorized for the generation or storage of TS information within the vault.

Reviews are normally conducted at the reviewer's desk in the G-Wing vault. If the review is to be conducted at another location, this will be documented on the CATS checkout sheet with location and telephone number given. During the review, never leave TSM unattended and NEVER transfer TSM to another person. If the reviewer must leave the room, he or she will return the TSM to the CATS Room.

XVII. SENSITIVE COMPARTMENTED INFORMATION (SCI)

SRP is not authorized to receive or store documents marked as containing SCI. These documents are stored in a Sensitive Compartmented Information Facility (SCIF) at the Office of Intelligence (IN-1) in the Forrestal Building. A limited number of SRP reviewers have been granted the special access required to conduct SCI reviews. Reviewers perform first, second, senior reviewer, and federal reviews at the Forrestal

Building. However, with the exception that the actual reviews are being done at a different facility, the action work flow is the same as described in Section X. Work packages without the documents to be reviewed, are processed within SRP similar to the way top secret work packages are handled.

Action files are maintained in the IN-1 SCIF. The need to separate SCI documents from their administrative paperwork for work flow purposes and the fact that security considerations prevent us from accessing CATS from the SCIF creates a risk that incorrect information could be entered in CATS. All SRP reviewers and administrative personnel working on SRP actions at the SCIF must do everything that they can to ensure that information that they enter into CATS after they return to SRP is correct.

XVIII. FOREIGN GOVERNMENT INFORMATION (FGI)

In E.O. 12958, as amended, Part 1, Section 1.1.(d), "Foreign Government Information" (FGI) is defined as:

- (1) 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;
- (2) information produced by the United States pursuant to or as a result of a joint arrangement with a foreign Government or Governments, or an international organization of Governments, or any element thereof, requiring that the information, the arrangement, or both, are to be held in confidence; or
- (3) information received and treated as "Foreign Government Information" under the terms of a predecessor order.

E.O. 12958, as amended, Part 4.2.g requires that an agency must safeguard foreign Government information under standards at least equivalent to that required by the Government that furnished the information.

A. United Kingdom Information

1. Documents containing United Kingdom (UK) information must be reviewed by the British Embassy before they are declassified or released. Documents are forwarded to the British Embassy in different ways, depending on the type of material:
 - Documents containing NSI may be sent directly to the British Embassy, with a standard letter requesting a coordinate review.
 - Documents containing RD, FRD, or UK Atomic information, which is comparable to RD, is coordinated with the UK through the Joint Atomic Information Exchange Group (JAIEG). These documents, with a cover letter addressed to the British Embassy, are sent to JAIEG to be forwarded to the embassy. A second copy of the documents should be included for retention in the JAIEG files; the letter to the JAIEG should inform them that a second copy of the documents is included for their records. Also, it is important to note that any document containing NNPI must first be coordinated with NA-30 for their determination of what NNPI must be deleted before sending the documents to the JAIEG or to the UK.
3. >>>Marking UK Accountable found not to contain DOE equities. (Key words and phrases on UK accountable documents are ATOMIC, ATOMIC PRINCIPAL, ATOMIC ARTIFICER, ACO/UK #, Atomic Control Office Number, Secret UK/US Eyes Only with ACO/UK number.)

>>> If a UK accountable document (i.e. Secret-Atomic- Restricted Data) is reviewed and found NOT to contain DOE Equities, then circle number 3 (No DOE Classified Information) of the 7 lined SRP stamp. Line 7 (other) is filled in with the statement that "DOE has no objections to lining through the Restricted Data markings." However, the RD/FRD marking are left intact. Since the document is to be returned to JAIEG, which can only receive RD documents for their purposes includes FRD. Also, if only FRD is found in the review, the RD markings are still left intact. This will enable us to send the document back through JAIEG and then to the requester (initiator) who can then delete or change the markings as needed.

>>>>B. NATO

Upon receipt CATS will assess each document. A tracking number (label) is assigned to each document (UK, NATO, Top Secret). Per current accountability procedures, the document could be removed and secured in the appropriate storage container. UK accountable and NATO documents are stored in the H-Wing vault (File Room). Top Secret Materials are stored in the G-Wing vault (CATS Room). The remainder of the documents may receive CATS regular SRP numbers and be grouped together in one action depending on current accountability procedures. The non-accountable and the accountable documents, if separated, will be recombined prior to dispatch.

XIX. DENYING OFFICIALS

- A. DOE RD/FRD/NSI information:** The Director of the Office of Classification is the denying official for all DOE RD/FRD/NSI information except for Naval Nuclear Propulsion Information (NNPI).

- B. Naval Nuclear Propulsion Information (NNPI).** NNPI is reviewed by the DOE Office of Naval Reactors (NA-30), the organization with sole cognizance over NNPI. The Director of NA-30 is the denying official for NNPI.
- C. Other Agency Information:** Any other agency requesting that information be denied provides the name and title of their denying official, except in cases where the other agency requests that DOE deny release of the information or document.
- D. Unclassified Controlled Nuclear Information (UCNI)/ Official Use Only (OUO) Information**
- 1. Guides:** The Director of The Office of Classification is the denying official for all classification guidance material.
 - 2. Safeguards and Security:** The Director, Office of Safeguards and Security, is the denying official for security-related unclassified but sensitive information referred to him or her for review.
 - 3. Other Information:** The denying official will vary.

XX. SIGNATURE AUTHORITY

SRP correspondence that does not deny any requested information will have the SRP Team Leader's Signature block but may be signed by the Federal Action Officer for the SRP Team Leader. SRP correspondence that partially denies requested information will have the ODR Director's signature block but may be signed by the SRP Team Leader for the ODR Director. SRP correspondence that totally denies requested information will have the OC Directors signature block but may be signed by the ODR Director for the OC Director.

XXI. GENERATING CORRESPONDENCE

The makeup and complexity of actions vary, as reflected in the correspondence that is generated.

There are several types of correspondence:

- A request for review by another DOE organization or outside agency (a "coordinate review").
- A follow-up to another organization or agency requesting the status of a coordinate review (known as a "ping" letter).
- A partial response that returns a portion of the material to the requester.
- A final response that closes the file and requires no further action by SRP.

A. Coordinate Reviews and Indirect Responses

DOE documents often contain information that falls within the purview of another DOE organization or other Government agency. The documents must be reviewed by the other organization or other agency before SRP can make the final classification determination.

If the first or second reviewer identifies documents that require a coordinate review, the first reviewer will fill out the correspondence template that requests that the documents be reviewed and either returned to SRP or sent directly to the initiator. The reviewer will then forward the package to the typist for completion, approval and dispatch.

1. Review and Return to SRP

When a document requires a coordinate review by more than one agency, the correspondence will request that each agency return the documents to SRP. If all documents in an action require coordinate reviews, the action cannot be completed until all coordinate review responses are received. However, partial responses completing some documents in the action can be prepared as coordination is received. An exception may be where all responses are received except from one agency or office. In this case, SRP may decide to forward the action to that agency or office (along with the review results indicated in the documents of the SRP review and that of the other agencies which responded) for final action by that agency. (Note: If the documents are DOE documents, the appropriate DOE program office must complete a review for other unclassified sensitive DOE information before the documents are sent to the other agency.) A copy of the correspondence to the other agency should be provided to the initiating organization.

2. Review and Respond to Requester

When a document requires a coordinate review by only one agency, and with the concurrence of the second reviewer, the first reviewer may forward the document(s) to the other agency and request that the other agency complete their review and forward the document directly to the initiator. However, the appropriate DOE program office must complete a review for other unclassified sensitive DOE information first if the documents are DOE documents.

- a.** If the document contains no DOE classified information, the correspondence may state that:
 - 1) the result of SRP's review is indicated on the first page of the document;

- 2) the document does not contain, or no longer contains, DOE classified information;
 - 3) DOE has no objection to the document's declassification and release; and
 - 4) response should be sent directly to the requester, with copy to SRP.
- b.** If any DOE classified information has been identified in the document, and the correspondence goes to a DOE organization, the correspondence will include the "Information for Requester" and OpenNet requirements and will state that:
- 1) the result of SRP's review is indicated on the first page of the document;
 - 2) any information that must be deleted before the document may be released is bracketed (usually in black pencil);
 - 3) any applicable FOIA or mandatory exemptions are indicated in the margins adjacent to the bracket(s), and
 - 4) the response should be sent directly to the requester, with a copy to SRP.
- c.** Some documents that have been determined to contain no RD or FRD information may contain information that is within the purview of another DOE office. The AO may prepare correspondence requesting that the other office review them for their equities and other sensitive unclassified information and either
- 1) return them to SRP with any classified information enclosed in brackets, or
 - 2) if they determine that the document contain no classified information, use SRP's memorandum as authority to declassify the documents and provide them directly to the initiator.

3. Coordinate Review Follow-up ("Ping")

After a year has passed with no response, a designated administrative support person will prepare follow-up ("ping") correspondence for each agency or DOE office that has not yet responded to SRP's request for a coordinate review. The correspondence will request that they review and return all documents as quickly as possible. Ping letters will be repeated every six months until the response is received. After three ping letters with no response, the subsequent ping letters

will be escalated to higher management levels for signature. Copies of all ping letters will be sent to the DOE FOIA office.

B. Sending a Partial Response

If all documents in an action require coordinate reviews, the action will await the coordinate review responses. However, an action that requires a coordinate review for some documents may also contain documents that require no outside coordination or outside coordination has been received for that particular document. In this case, the reviewer will fill out a partial response template to a program office or another agency to provide the documents to the requester while the coordinate review for the other document(s) is in progress.

To send a partial response, the reviewer will:

1. ensure that classification stamps have been signed by both reviewers;
2. Fill out the partial response template;
3. Fill out the review history in CATS
4. Forward the action to the typist for completion, approval and dispatch. After dispatch, CATS will return the action to the SRP to be held on the coordinate action shelf.

C. Completing the Review and Sending the Final Response

When all coordinate reviews have been returned, the reviewer will:

1. combine all brackets into a master document,
2. re-mark the document(s) if necessary,
3. finalize the correspondence template
4. update the review history in CATS
- >>>>5. give package to an LTAR/STAR for technical accuracy and completeness checks.

D. No Coordinate Review Required

If the reviewers determine that the documents in an action do not require coordinate review, the reviewer will finalize the review process and fill out the response to the initiator template. The reviewer will:

1. bracket any DOE information and state the applicable FOIA or mandatory

exemptions in the margin adjacent to the brackets.

2. ensure that both reviewers sign all the classification stamps;
3. Fill out the correspondence template
4. update the CATS review history.
5. Give package to an LTAR/STAR for technical accuracy and completeness checks.

E. Inadvertent Compromises

Correspondence forwarding documents to other agencies for declassification review is generated on an unclassified Local Area Network (LAN), and documents sent for coordination are tracked by an unclassified database. For these reasons, reviewers must always be on guard for the possibility of inadvertent compromises due to classified titles that are unmarked or incorrectly marked and/or where the requester's request creates classified associations with otherwise unclassified titles or other information.

F. OpenNet

All documents declassified and made publicly releasable by the DOE on or after October 1, 1994, must have bibliographic information made available to be entered into the DOE OpenNet database. Correspondence responding to a request for a declassification review contains a reminder for DOE organizations that information must be included in OpenNet, and includes procedures for furnishing OpenNet with the required information. See Attachment G, "OpenNet Requirements."

G. Information for the Requester

When a document contains classified information, SRP's correspondence to the initiator may include an attachment titled "Information for Requester" which contains the name of all Denying Officials (for FOIAs only), other legal information concerning the deletions, and appeal information. See Attachment H for a sample "Information for the Requester."

XXII. Preparing Reports

CATS is being modified to generate all of SRP's reoccurring reports. A SRP PA generates the reports from CATS when needed. Since this is a recent revision to CATS problems may be encountered when reports are generated. The PA will report all problems to the CATS development team and the SRP team leader.

XXIII. Vault Security Procedures

Open storage of and discussions of classified material up to the Secret level is

allowed in the vault. Detailed procedures for the storage, handling and security of Top Secret material are given in attachment I. Personnel that have the authority to open and close the SRP vault are noted on the Access Authorization List posted on the back of the SRP vault door. All SRP personnel authorized to open or close the vault should ensure that they have been trained to do so before they do it. Procedures for opening the vault door are posted on the outside of the vault to the left of the card swipe. The security checklist for closing the vault is posted to the left of the inside of the vault door. Anyone closing the vault should make sure that they have performed all the functions shown on the checklist at attachment J

XXIV. LIST OF ATTACHMENTS

- ATTACHMENT A. Terms and Definitions
- ATTACHMENT B. Federal QC Checklist
- ATTACHMENT C. Congressional Review Request Form
- ATTACHMENT D. Congressional Reviews Check List
- ATTACHMENT E. Congressional Cover Memo Form
- ATTACHMENT F. Sample NCND Correspondence
- ATTACHMENT G. OpenNet Requirements
- ATTACHMENT H. Information for the Requester
- ATTACHMENT I. Procedures for the Storage, Handling, and Security of Top Secret Materials within the Statutory Reviews Program, 3rd Floor G-Wing Vault
- ATTACHMENT J. Vault Closing Checklist

ATTACHMENT A.

Terms and Definitions

AEA	Atomic Energy Act
AFTAC	Air Force Technical Applications Center
AO	Action Officer
C	Confidential. Information whose unauthorized disclosure could reasonably be expected to damage the national security.
CA	Congressional Administrator
CATS	Computerized Action Tracking System
CCRP	Comprehensive Classification Review Program. The CCRP was a large-scale systematic declassification review conducted by the AEC in the early 1970s. The rapidity of the program led to significant compromises of classified information, and to criticism and scrutiny by Congress. Estimates of documents erroneously declassified range from one to six percent. The DOE later invalidated all document declassifications conducted under the CCRP during the period 1971 through 1978.
CGS	Classified Guidance System
C-LAN	Classified Local Area Network
CNWDI	Critical Nuclear Weapon's Design Information
DC	Derivative Classifier
DD	Derivative Declassifier
DNFSB	Defense Nuclear Facility Safety Board
DOE	Department of Energy
DOS	Department of State
DR	Document Reviewer
ECI	Export Control Information
FAO	Federal Action Officer
FGI	Foreign Government Information
FOIA	Freedom Of Information Act
FRD	Formerly Restricted Data. Information classified under the AEA that relates primarily to the military use of nuclear weapons and that has been removed from the RD category by a joint determination between DOE and the Department of Defense.
FS	Federal Secretary
HP	High Priority
HQ	Headquarters
HS	Office of Health, Safety and Security
IDR	Intermediate Document Reviewer
IFR	Information for Requester
IREP	Incident Report
JAIEG	Joint Atomic Information Exchange Group
LDD	Limited Derivative Declassifier
LOU	Limited Official Use
NATO	North Atlantic Treaty Organization
NCND	Neither Confirm or Deny
NNPI	Naval Nuclear Propulsion Information
NNSA	National Nuclear Security Administration
NSI	National Security Information. Information that has been determined under E.O. 12958, as amended, or any previous E.O., to require protection against unauthorized disclosure.
OADR	Originating Agency Determination Required
OC	Office of Classification
ODR	Office of Document Reviews
OUO	Official Use Only

PA	Policy Analyst
PACAS	Patent Application Classification Accounting System
PTO	Patent and Trademark Office
QA	Quality Assurance
QC	Quality Control
RAC	Review Action Coordinator
RD	Restricted Data. All data concerning the design, manufacture, or utilization of atomic weapons; the production of special nuclear material; or the use of special nuclear material in the production of energy, but shall not include data declassified or removed from the Restricted Data category pursuant to Section 142 of the AEA of 1954, as amended.
RO	Reviewing Official
S	Secret. Information whose unauthorized disclosure could reasonably be expected to seriously damage the national security.
SCI	Sensitive Compartmented Information
SCIF	Sensitive Compartmented Information Facility
SDR	Senior Document Reviewer
SRP	Statutory Reviews Program
TL	Team Leader
TS	Top Secret. Information whose unauthorized disclosure could reasonably be expected to cause exceptionally grave damage to the national security, that the original classification authority is able to identify or describe.
TSCO	Top Secret Control Officer
U	Unclassified
UCNI	Unclassified Controlled Nuclear Information
UK	United Kingdom

ATTACHMENT B.

Federal QC Checklist

FEDERAL QC CHECKLIST FOR ACTIONS READY FOR DISPATCH

CORRESPONDENCE

1. Typing/Grammar

- | | | |
|--|-----|----|
| A. Is correspondence free of typos? | Yes | No |
| B. Is name and address correct and current? | Yes | No |
| C. Does salutation match address? | Yes | No |
| D. Is correspondence free of grammatical errors? | Yes | No |

2. Other

- | | | | |
|---|-----|----|-----|
| A. Has appropriate verbiage been used to indicate type of response (e.g., partial)? | Yes | No | NA |
| B. Does correspondence reference the initiator's incoming reference number? | Yes | No | N/A |
| C. Is initiator/requester shown as cc on correspondence forwarding document(s) to other DOE Office(s)/Government Agency(ies)? | Yes | No | N/A |
| D. Does verbiage used in correspondence match review result(s) as indicated on stamp(s)? | Yes | No | N/A |
| E. Is coordination recommended on review stamp(s) mentioned in correspondence? | Yes | No | N/A |
| F. Does correspondence have the correct signature block? | Yes | No | |
| G. Are we answering all requests stated in the initiator's letter? | Yes | No | N/A |

DOCUMENT(S)

3. Bracket(s)

- | | | | |
|---|-----|----|-----|
| A. Do bracket color(s) in letter match bracket color(s) in document? | Yes | No | |
| B. Are bracketed portion(s) consistent? | Yes | No | |
| C. Is action free of over bracketing? | Yes | No | |
| D. Is action free of under bracketing? | Yes | No | |
| E. Are appeal procedures provided in either correspondence or as attachment? | Yes | No | |
| F. If bracket(s) were changed, has rationale been discussed with Senior, Second, and First Reviewers? | Yes | No | N/A |

4. Enclosure(s)/Attachment(s)

- | | | | |
|---|-----|----|-----|
| A. Do enclosure number(s) match the letter? | Yes | No | N/A |
|---|-----|----|-----|

- | | | | |
|--|-----|----|-----|
| B. Do enclosure(s) on list match actual enclosure(s)? | Yes | No | N/A |
| C. Is the CATS enclosure listing Unclassified? | Yes | No | |
| D. Is there a match (or otherwise accounting) between incoming and outgoing document(s)? | Yes | No | |
| 5. Review Stamp(s) | | | |
| A. Has each reviewer signed and dated the stamp(s)? | Yes | No | |
| B. Has action officer circled the appropriate determination number(s) (1-7)? | Yes | No | N/A |
| C. Has returned coordination been indicated on stamp(s)? | Yes | No | N/A |

FOIA REVIEW

- | | | | |
|---|-----|----|--|
| 6. FOIA Office Number | | | |
| A. Should action have a FOIA Office number? | Yes | No | |
| B. If we are responding directly back to FOIA Office, is FOIA Office number referenced in letter or memo? | Yes | No | |
| C. Does distribution (bcc) include the FOIA Office? | Yes | No | |
| 7. Information for Requester Attachment | | | |
| A. Are all exemption(s) listed on the Information for the Requester? | Yes | No | |
| B. Do exemption(s) listed match those on document(s)? | Yes | No | |
| C. Is denying official named? | Yes | No | |

DOE OFFICE REVIEW

- | | | | |
|--|-----|----|-----|
| 8. Opennet Requirements Attachment | | | |
| A. If we are responding to any DOE Office and our response is not a total denial, is OpenNet included (excluding High Priorities)? | Yes | No | |
| 9. Document(s) transmitted to a DOE Program Office | | | |
| A. Did we check for UCNI? | Yes | No | N/A |
| B. Are we also asking program office/field to check for "other sensitive unclassified information," rather than UCNI? | Yes | No | N/A |

10. DOCUMENT(S) TRANSMITTED TO THE UK

A. Is RD/FRD information being sent through JAIEG?

Yes No N/A

B. NSI Information sent directly to UK?

Yes No N/A

11. CATS DATA ENTRY

A. Are all previous CATS data entries correct?

Yes No

B. Did you enter action start and completion date?

Yes No

C. If errors were found, did you enter number and description?

Yes No

ATTACHMENT C

Congressional Review Request Form

**DOCUMENT REVIEW REQUEST FORM
CONGRESSIONAL MATERIAL**

Office of Document Reviews – HS-93

DATE: _____

MEMORANDUM FOR: DIRECTOR, OFFICE OF DOCUMENT REVIEWS
OFFICE OF CLASSIFICATION

FROM: _____

SUBJECT: REVIEW OF CONGRESSIONAL MATERIAL

It is requested that the Office of Document Reviews conduct a review of the attached material.
The following is provided for your information:

1. Type of document:
☐ Transcript ☐ Q & A's
☐ Statement ☐ Other, Specify _____

2. ☐ 5 paper copies attached

3. Committee: _____

Subcommittee: _____

Hearing date (if applicable): _____

4. Version:
☐ Advance copy ☐ Printer's copy
☐ Final copy ☐ Other, Specify _____

5. Type of review required:
☐ Overall classification determination ☐ Bracketing
☐ UCNI determination ☐ Other, Specify _____

6. Other agencies and contacts this material is being coordinated with:

7. Submitting point of contact:
Name: _____

Room number _____

Telephone _____

8. Deadline for completion of review:

Basis for deadline:

9. Authorized signature:

Routing symbol: _____

Telephone _____

ATTACHMENT D

Congressional Reviews Check List

Checklist for Congressional Reviews		
ACTION #	Size:	#of Pages:
Date Rec'd:	Time Rec'd:	
DEADLINE:		
Preparing & Reviewing Documents:		
	5 copies received from requester.	
	Write "original" on one copy, "file copy" on one copy, and give both to CATS to log in. CATS will generate a tasking sheet to be signed by Doug Zimmerman.	
	On three copies: stamp each "Working Paper" Write date & time received and deadline on each copy.	
	Distribute the three "Working Papers" to reviewers.	
	Check with reviewers during review period. Note any questions or problems.	
	Coordination required? No ___ Yes ___ If yes, has FAO notified other agency?	
	Coordinate with/date sent:	Reply rec'd:
	Coordinate with/date sent:	Reply rec'd:
	Discussion meeting necessary? No ___ Yes ___ - Questions/problems/issues noted on file copy? _____ - Bracketing required? No ___ Yes ___ - Final classification determination _____	
	Stamp file copy with classification.	
	Stamp original with classification.	
Cover memo:		
	Complete memo (use memos from previous actions as example). *Place Memo in Blue Folder (Memo only).	
	Stamp memo top and bottom with classification.	
	Reviewers initial and date.	
	Doug Zimmerman or designee signs packages.	
	Make one copy of the signed cover memo; on the <u>copy</u> , write in the lower left corner: 1bcc: HS-93 Reader 1bcc: HS-93 HS-90 Reader)	
	Make 4 copies of the annotated copy (file copy); keep 2 copies in the file, give 2 copies to the HS-93 secretary.	
Returning Material to Requester, Filing:		
	Return original material and original signed cover memo to requester.	
	Give file copy and 3 copies of cover memo to CATS to close action.	
	File folder in top drawer of black 4-drawer cabinet (latest folder in front).	

ATTACHMENT E

Congressional Cover Memo Form



Ref: _____

Department of Energy
Germantown, MD 20874
(Date)

MEMORANDUM FOR _____ NA-62

FROM: _____, DIRECTOR
OFFICE OF DOCUMENT REVIEWS
OFFICE OF CLASSIFICATION

SUBJECT: (Title) (pp. #)

A classification review has been completed on the subject document and the results are indicated as follows:

- () Our review has determined that the document identified above contains classified information or Unclassified Controlled Nuclear Information (UCNI). The classified information is identified by red brackets and UCNI is bracketed in blue. Upon deletion of the bracketed information, the attachment is unclassified.
- () The document identified above is unclassified and does not contain UCNI. You are reminded that the review for unclassified sensitive information, by your organization, is still ongoing.
- () The document identified above is unclassified except for pages ____ attached, which contain classified information. The classified information on these pages is identified by red brackets and UCNI is bracketed in blue. Upon deletion of the bracketed information these pages are also unclassified.

Comments:

In the event derivative documents contain changes, the program office shall make a preliminary classification determination and seek the concurrence of the Office of Document Reviews through the review Chairperson, Douglas E. Zimmerman at (301) 903-1128.

Attachment

Concurrence by:

Classification Level/Category of:

(1) Attached Document(s) Unclassified

(2) Transmittal Memo: Unclassified

Delivered to: _____

Name

Date

ATTACHMENT F

Sample NCND Correspondence

SAMPLE NCND LETTER

Mr. John Doe
1 Main Street
Mission, Texas

54321

Dear Mr. Doe:

This responds to your Freedom of Information Act (FOIA) request dated January 1, 1991, for records concerning a project in the weapons program called "Poker Roulette."

We can neither confirm nor deny the existence of the records you requested. If such records did exist, they would be classified National Security Information under Executive Order 12958.

Pursuant to 10 CFR 1004.6(d), Dr. Andrew P. Weston-Dawkes, Acting Director, Office of Classification, is the official who would be responsible for the denial of Department of Energy classified information.

Pursuant to 10 CFR 1004.8, the denial of a FOIA request may be appealed, in writing, within 30 days after receipt of a letter denying any portion of the request, to the Director, Office of Hearings and Appeals, Department of Energy, 1000 Independence Avenue, SW., Washington, D.C. 20585. The written appeal, including envelope, must clearly indicate that a Freedom of Information appeal is being made, and the appeal must contain all other elements required by 10 CFR 1004.8. Judicial review will thereafter be available to you: (1) in the district where you reside;
(2) where you have your principal place of business; (3) where the Department's records are situated; or (4) in the District of Columbia.

If you need further assistance, you may contact Mr. James E. Greening of my staff on (301) 903-5929.

Sincerely,

BC:
FOIA Office

ATTACHMENT G
OpenNet Requirements

OpenNet Requirements

All documents declassified and publicly releasable on or after October 1, 1994, must be announced on the Department of Energy (DOE) OpenNet database. Electronic format is the preferred method for submitting declassified documents to OpenNet. Please provide an electronic copy of the document via email to opennet@osti.gov. In the transmittal of the document, you may provide an electronic file (PDF) copy of the document or you may provide the URL or location for your site-maintained electronic copy of the document. Also, please indicate the Declassification Status (declassified or sanitized) and Declassification Date of the document.

Please contact Mr. _____ at (865) 576-xxx on questions concerning submission of declassified documents to OpenNet. Additional information regarding OpenNet may be obtained from Ms. _____ at (301) 903 -xxxx.

ATTACHMENT H

Information for the requester

Information for Requester Template

Pursuant to Title 10, Code of Federal Regulations, section 1004.6 (10 CFR 1004.6), the Office of Classification, Office of Health, Safety and Security, in the Department of Energy (DOE) has completed its review(s) of the document(s) responsive to your request.

This [These] [One or more] document(s), located in the files of the Government Agency or DOE Office, contain(s) information exempted from disclosure as Restricted Data (RD), Excluded Information (EI), Restricted Data (RD), and/or National Security Information and/or properly segregated information about Controlled Nuclear Material (CNM) pursuant to 10 CFR 1004.6(a)(1)(i); therefore, it is/they are provided to you with deletions.

Title 5, United States Code, section 552(b)(3) (5 U.S.C. 552(b)(3)) (exemption 3), exempts from disclosure information "specifically exempted from disclosure by statute (other than section 552(b) of this title), provided that such statute (A) requires that the matters be withheld from the public in such a manner as to leave no discretion on the issue, or (B) establishes particular criteria for withholding or refers to particular types of matters to be withheld" The Atomic Energy Act (AEA) of 1954, as amended, 42 U.S.C. 2011 et seq., is an exemption 3 statute. Section 2014(a)(1)(A) of the AEA, as amended, prohibits the disclosure of information concerning atomic energy defense programs that is either RD or EI and/or determined to be CNM pursuant to the AEA, as amended. The portions deleted from the subject document(s) pursuant to exemption 3 contain information about weapon design, production of special nuclear material, and/or Naval Nuclear Propulsion Information that includes, but is not limited to, RD and weapon yields, stockpile quantities, weapon locations, test event yields, nuclear weapon production schedules, and/or nuclear weapons that are classified as RD and/or the design of production facilities or utilization facilities, security measures for the physical protection of production or utilization facilities, security measures for the physical protection of nuclear materials contained in production or utilization facilities, nuclear materials in

transit and/or the design, manufacture, or utilization of atomic weapons components that were removed from the RD category by the Secretary of Energy that but for this exemption would be disclosed as T or CN. Disclosure of the exempt data could jeopardize the common defense and security of the United States by revealing information that is critical to the national security of the United States.

Title 5, United States Code, section 552(b)(2) (5 U.S.C. 552(b)(2)) (exemption 2), provides that an agency may exempt from disclosure information "related solely to the internal personnel rules and practices of an agency." The courts have interpreted this exemption to encompass two distinct categories of information: (a) internal matters of a relatively trivial nature and (b) more substantial internal matters, the disclosure of which would risk circumvention of a legal requirement. The portions deleted from the subject document(s) pursuant to exemption 2 contain information which authorized DOE personnel use to review documents to determine whether the information is exempt from disclosure information that has been safeguarded as OUO under the Freedom of Information Act (FOIA). The portions of the subject document(s) that are exempt from disclosure under exemption 2 are internal personnel rules and practices detailing the categories of information that are classified and their current and former classification levels is likely to result in circumvention of a legal requirement. Such information is therefore exempt from disclosure.

Title 5, United States Code, section 552(b)(1) (5 U.S.C. 552(b)(1)) (exemption 1), provides that an agency may exempt from disclosure matters that are "(A) specifically authorized under criteria established by an Executive order to be kept secret in the interest of national defense or foreign policy and (B) are in fact properly classified pursuant to such Executive order" The portions deleted from the subject document(s) pursuant to exemption 1 contain information about military plans, weapons systems, or operations; foreign government information; intelligence activities (including special activities), intelligence sources or methods, or cryptology; foreign relations or foreign activities of the United States, including confidential sources; scientific, technological, or economic matters relating to the national security; United States Government programs for

safeguarding nuclear materials/facilities; vulnerabilities or capabilities of systems, installations, projects or plans relating to the national security; and/or weapons of mass destruction and are classified under section(s) 1.4 (a), (b), (c), (d), (e), (f), (g), and/or (h) of Executive Order 12958 (E.O. 12958), as amended. It has been determined that release of the information could reasonably be expected to cause damage to the national security.

To the extent permitted by law, the DOE, pursuant to 10 CFR 1004.1, will make available records it is authorized to withhold under the Freedom of Information Act (FOIA) whenever it determines that such disclosure is in the public interest. With respect to the information withheld from disclosure pursuant to exemptions 3, 2 and 1, the DOE has no further discretion under the FOIA or DOE regulations to release information currently and properly classified and/or unclassified pursuant to E.O. 12958 and/or E.O. 12958, as amended, and/or E.O. 12958.

Pursuant to 10 CFR 1004.6(d), Dr. Andrew P. Weston-Dawkes, Acting Director, Office of Classification, Office of Health, Safety and Security, is the official responsible for the denial of the DOE classified and/or unclassified information.

Pursuant to 10 CFR 1004.8, the denial of a FOIA request may be appealed, in writing, within 30 days after receipt of a letter denying any portion of the request, to the Director, Office of Hearings and Appeals, Department of Energy, 1000 Independence Avenue, SW., Washington, D.C. 20585. The written appeal, including envelope, must clearly indicate that a Freedom of Information appeal is being made, and the appeal must contain all other elements required by 10 CFR 1004.8. Judicial review will thereafter be available to you in the District of Columbia or in the district where: (1) you reside, (2) you have your principal place of business, or (3) the Department's records are situated.

ATTACHMENT I

Procedures for the Storage, Handling, and Security of Top Secret Materials within the Statutory Reviews Program, 3rd Floor G-Wing Vault

**Procedures for the Storage, Handling and Security of
Top Secret Materials Within the Statutory Reviews Program,
3rd Floor G Wing Vault**

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I. LIMITATIONS

Top Secret Materials (TSM) requiring declassification reviews by the Statutory Reviews Program (SRP) Team will be stored in the TS safe in room G-359, hereafter referred to as the SRP TS safe, in the 3rd Floor G-Wing vault-type room accessed through G-347 (hereafter referred to as the vault). The exceptions to this statement are incoming TSM that is being logged into the Computer Action Tracking System (CATS), outgoing TSM that is being dispatched from the CATS, and open coordinate reviews awaiting coordinate review responses. During these times, the TSM will be stored by the File Room Team in room H-303 (specifically houses Sigma 14 and/or NATO) or the CATS Team in room G-337 (which houses all other TSM). The vault has not been authorized for Top Secret (TS) discussions. There is no secure communications equipment authorized for TS transmission from the vault. There is no copying equipment authorized for reproduction of TSM, nor any computer system authorized for the generation or storage of TS information within the vault.

TSM will not be received or stored for other organizations except in case of an emergency.

II. GENERAL

This procedure is a SRP supplement to the Headquarters Facilities Master Security Plan (MSP). As such, it covers storage, handling and security procedures for TSM maintained in the vault for which SRP is responsible. The MSP and other applicable directives should be consulted for procedures regarding the authorized open storage of Secret Restricted Data or other classified information within the vault.

TSM is accountable. The SRP will be responsible for internal control and accountability of actions transferred to and from the SRP TS safe and/or internally-generated TSM. "Control" refers to the prevention of unauthorized access, while "accountability" refers to maintenance of an audit trail capturing access to, location, and final disposition of various TSM.

III. STATUTORY REVIEWS PROGRAM TOP SECRET MATERIALS ACCESS CONTROL

TSM is not authorized for open storage in the vault. TSM in the vault shall be kept locked inside the SRP TS safe or the CATS TS safe when not in use. When removed from the SRP TS safe, TSM shall be constantly controlled by or under the custody of persons authorized access to it. Whenever the SRP safe is not locked, it shall be constantly controlled by an authorized custodian of SRP TSM known as the open safe custodian. Line of sight control is required.

It is intended that TSM remain in the vault and in close proximity to the SRP TS safe whenever practicable. When TSM has been removed from the SRP TS safe for classification or declassification review, the review should usually be conducted at table next to the safe and the reviewer should be responsible for both custody of the TSM and control of the open safe. TSM shall be covered by TS cover sheets whenever the material is not in use. If the review is not conducted in room G-359 the reviewer must note where the TSM is being taken on the green check out card and insure that someone else in the room has been designated as the open safe custodian.

The SRP TS safe should not be locked when any SRP TSM is absent from it. Should the safe need to be

locked with TSM absent, the open safe custodian must ensure that a holder of the combination will be available to accept return of the TSM (see also Emergency Procedures, section VI).

The SRP TS safe combination will be different from that of the vault doors.

Standard Form 702 (SF 702) shall be used to record unlocking, locking, and checking of the SRP TS safe. It is intended that the SRP TS safe shall be locked and checked by different persons. However, if exceptional circumstances require it, the same person may both lock and check the SRP TS safe. In such case, the locking and checking must each be an entirely independent sequence which includes physically clearing the combination lock and manually attempting to open each drawer.

Custody of TSM and/or unsupervised access to the unlocked SRP TS safe will be limited to persons on a list approved by the SRP Federal Team Leader. Cleared persons not designated as authorized custodians are allowed access to the SRP TS safe only if supervised by authorized custodians. Cleared persons not on the list may gain custody of TSM only through formal written transfer of accountability through the File Room Team, the CATS Team, or as specified in the Emergency Procedures, section VI.

Authorized custodians may remove TSM from the vault for temporary use elsewhere within the 3rd floor limited area or for temporary (supervised) access by other cleared personnel. The associated Charge Out File Card (see next page) will be annotated with the reason for removal and the intended location (with phone extension) for SRP TSM being taken out of the vault. SRP TSM removed from the vault must be carried in opaque, unmarked containers on the third floor. TSM temporarily removed from the vault shall remain under the personal control of an authorized custodian and shall remain within the 3rd floor limited area (inside the glass doors).

Absent an emergency situation, SRP TSM exiting the 3rd floor limited area shall be properly packaged (double wrapped), accompanied by receipts prepared by the File Room Team or the CATS Team, and carried only by duly authorized couriers.

IV. STATUTORY REVIEWS PROGRAM TOP SECRET MATERIAL ACCESS ACCOUNTABILITY

The SRP TS safe combination will be given only to individuals specified by the Federal Team Leader, SRP. A current list of those persons and their home and/or cell telephone numbers (if any) will be affixed near the safe. The priority order of contact regarding any discrepancy with the SRP TS safe will be indicated (the HSO will be listed last).

An "Authorized Custodian" list of all personnel (Federal and Contractor) authorized to have custody of SRP TSM, control access to the TSM safe when open, and lock the safe shall be countersigned by the SRP Federal Team Leader and affixed near the safe. This list will include name, office, and home telephone numbers. A sample of each person's signature and initials, as will be used on various Charge Out File Cards (DOE F 1324.7) (yellow card) and/or SF 702, will also be attached. This is intended to be a working list; any additions, line-outs and/or pen & ink changes will be initialed by the SRP TSM Custodian. Persons checking the safe do not need to be on this list.

Persons unlocking the safe will initial SF 702 and then either personally attend the open safe until secured or designate an authorized "Open Safe Custodian." A running record of persons designated as the open safe

custodian shall be kept on a modified DOE F 1324.7 maintained as the first file in the lock drawer of the safe. The file tab of the File Card shall be annotated "Open Safe Custodian" and the date columns shall be annotated with "Time &"[Date]. The open safe Custodian will sign in the "Charged To" column, note the time and date in the column next to the signature and place the Charge Out File Card on top of the SF 702. Superseded SF 702s and DOE F 1324.7s will be retained in the TSM safe's ledger (see section V).

If open safe custody is transferred, the new custodian will sign in the next available "Charged To" column and enter the time and date. Such record transfer of custody is optional when another authorized custodian temporarily takes custody (for periods anticipated at 15 minutes or less). When the safe is to be locked, the initials of the person locking it will be entered in the "Locked By" column, the time and date noted.

When TSM is to be removed from the safe, the open safe custodian will ensure that its individually associated Charge Out File Card (green card) (DOE F 1324.7) is signed and dated by the person removing the TSM. The associated File Card shall be placed on top of the SRP TS safe, so that it will be immediately apparent when any SRP TSM is absent from the safe.

When the TSM is returned to the safe, the open safe custodian will line out the individual's name and enter his initials next to his strikeout in the appropriate column, and place the card back in the safe with its TSM. This is not intended to establish a two-person requirement; open safe custodians may initial their own withdrawn TSM back into the safe.

The current "check safe" line was modified on the vault's Security Activity Check List to include a requirement to check the SRP TSM safe, as well as the CATS TSM safe, when conducting the end of business checks inside the vault. Personnel conducting those checks shall ensure that the TSM safes are locked and initial the SF 702 "Checked By" columns if that has not already been done.

V. STATUTORY REVIEWS PROGRAM INFORMAL TOP SECRET MATERIAL ACCOUNTABILITY

>>>The point of entry and exit for TSM into formal ODR accountability records is the CATS Team, which catalogs TSM into the CATS electronic database. The CATS Team will receive, receipt for, and catalog TSM, record TSM transfers between the SRP Team and CATS Team, and dispatch TSM outside ODR as required.

>>>ODR TSM must be stored in the CATS TSM safes. The TSM accountability in this procedure applies only to material stored in the SRP's safe.

Most TSM held by the SRP will already have been cataloged in the CATS electronic data base. A uniquely identified (normally by the CATS action number) Charge Out File Card (DOE F 1324.7) will be created for each discrete TSM action and attached to it when in the safe by the SRP TSM Custodian. The DOE F 1324.7 description will include page (or document/item) counts as appropriate. In the case of internally originated draft documents, the unique document identification shall consist of the originator's name and the date originated. Draft TSM must be brought to the File Room Team or CATS Team for entry into formal accountability records when finalized or after 30 days (whichever comes first). In the case of longhand drafts, sufficient blank pages should be included to accommodate revisions without the need to update page counts (Warning: unneeded draft TSM must be disposed of in accordance with current TSM disposal procedures).

The SRP TSM Custodian will create and sustain a paper ledger which will be used to maintain the (informal) SRP accountability of TSM. The ledger will be secured in the SRP TS safe when not in use. The ledger will list the safe TSM contents by action number, unique document number, page count (if applicable), and the drawer it is store in. Other required information is captured and stored in the CATS database by the File Room Team or CATS Team. When initially placing TSM in the SRP TS safe, the SRP TSM Custodian shall enter it in the ledger, and authenticate the entry with their signature and the date. When TSM are permanently (such as for transfer or destruction) or temporarily (such as for open coordinate review) removed from the safe, the SRP TSM Custodian will list the purpose for removal and authenticate the removal with their signature and the date, both in the ledger and on the Charge Out File Card. The Charge Out File Cards for such permanently removed items shall be kept in the ledger until satisfactory completion of the next inventory of the safe. Superseded SF 702s and "Open Safe Custodian" DOE F 1324.7s will also be retained in the TSM safe's ledger; they may be discarded when both (1) a satisfactory TSM inventory has been conducted since the last entry, and (2) three months have elapsed since the last entry.

The SRP will conduct periodic two-person inventories of its TSM holdings, record the inventory results in the ledger, and have both persons authenticate the results by signature. These inventories are in addition to those conducted by the File Room Team or CATS Team as the formal TSM custodians. During SRP inventories, drawer contents will be compared with the ledger, and the ledger will be compared to the CATS electronic database and the File Room Team's and CATS Team's records of SRP TSM holdings. An inventory is required annually and any time there is an anomaly discovered with secured TSM, unsecured TSM is discovered and/or the safe was improperly secured (safe unlocked and unattended, safe would not properly lock, safe left open during emergency evacuation of vault, etc.). Inventory discrepancies which are not resolved within four duty hours of discovery will be reported to the SRP Team Leader, the Director, ODR, and the HSO.

VI. EMERGENCIES INVOLVING STATUTORY REVIEWS PROGRAM TOP SECRET MATERIALS

Authorized custodians of SRP TSM are expected to maintain proper control of TSM in their possession until accountability has been properly transferred. It shall not simply be handed to some other custodian in or outside of the vault.

Emergencies involve immediate threats to personnel safety. Prudent deviation from normal procedure is authorized in emergencies. The first priority is personnel safety; the second priority is keeping TSM within its routine control and accountability regimen.

The most probable emergency situation is a building fire. Any time you smell smoke, you should anticipate a requirement to evacuate the building. Therefore, the prudent action is to immediately get all TSM secured in the safe instead of waiting for an alarm.

If TSM is outside the vault and you are the open safe custodian, phone the location to where it has been taken and direct its immediate return. If the fire alarm sounds and TSM is still out, hold the safe open only until the vault has been otherwise evacuated. Lock the safe. If any TSM is still out, take the associated Charge Out File Cards with you and exit the vault. Follow the normal fire drill procedures. Then head for the softball backstop across from the south entrance to await the TSM holder.

If you have TSM outside the vault and smell smoke notify someone inside the vault and head back only if there is no apparent hazard. If the fire alarm sounds, your priorities are personal safety and retention of control over your TSM. If you are close to the vault, try to return the package to the safe. If not, keep the TSM in the opaque container and under your personal control. Follow normal fire drill procedures and proceed to the softball backstop across from the south entrance to meet the File Card holder.

If return to the building does not appear imminent, both persons will escort the TSM to the nearest guard post. The guard will be requested to contact his supervisor to send a guard with authority to accept and secure the TSM. The TSM will be jointly inventoried with the guard by unique number and page (or item) count as on the File Card. The guard or other authorized custodian must sign the File Card, enter the time, date and his badge number, and enter the new location where the TSM will be secured. The File Card will be retained by the SRP open safe custodian who will provide it and a complete report of the circumstances and actions taken to the Director, OCCIR, the HSO, and the SRP TSM Custodian as soon as possible.

Absent an immediate threat to personnel safety, non-routine requirements, regardless of urgency, do not constitute emergencies. Deviation from the normal TSM control and accountability procedures (including transportation limitations) in non-emergency situations must be authorized in writing by the Director, ODR, his designated representative or higher Federal authority. Copies of the authorization and a full report of the circumstances and actions taken shall be provided to the SRP Team Leader, the Director, ODR, and the HSO by close of business on the following duty day.

ATTACHMENT J

Vault Closing Checklist

VAULT CLOSING CHECKLIST

CLOSING THE CATS ROOM ONLY – CHECK LIST:

- ___ Ensure that all SAFES have been properly locked, and initial-off on the SF-702s
(Currently, there are 3 safes near the CATS hallway-entrance door and 1 under the table close to the copier -- spin the dial and check that each drawer is locked -- enter the date (if not previously entered from opening during the day), your initials, and the time on the SF-702 in the applicable blocks under the “Checked By” column)
- ___ Turn off the CLASSIFIED PRINTER
- ___ Make sure SSIMS hard drive is not in the CLASSIFIED COMPUTER, and turn it off
(If SSIMS is in the classified computer, remove it and properly store it)
- ___ Check that all COMPUTER SYSTEMS have been shut down, including CPUs, MONITORS, SPEAKERS, and PRINTERS
- ___ Check that all PERSONAL ITEMS have been turned off, including the TOASTER OVEN, FAN, COFFEE POT, and ADDING MACHINE
- ___ Turn off the COPIER, and sign the ACTIVITY SECURITY CHECKLIST sheet
- ___ Turn off the TAPE MACHINE
- ___ Secure all FLUTTERING ITEMS, including LOOSE PAPERS OVER VENTS, BALLOONS, etc., to avoid setting off the motion-sensor alarm
- ___ Check that all DOOR LOCKS have been pushed-in
- ___ Turn off the LIGHT

- ___ Exit thru the CATS hallway-entrance DOOR (G-337), and lock it
(Turn the combination lock 1-2 full turns to the right and then 1 full turn to the left -- try to open the door)
- ___ For the applicable date, enter your initials and the time on the SF-702 under the “Closed By” column
- ___ Re-enter the vault thru G-347, and sign-out for the day

CLOSING THE ENTIRE VAULT– CHECK LIST:

- ___ Complete all of the above (CATS Room)

- ___ Ensure that the Statutory Top Secret SAFE (located in G-359) has been properly locked, and initial-off on the SF-702
(Spin the dial and check that each drawer is locked -- enter the date (if not previously entered from opening during the day), your initials, and the time on the SF-702 in the applicable blocks under the “Checked By” column)
- ___ Check that all COMPUTER SYSTEMS have been shut down, including CPUs, MONITORS, SPEAKERS, PRINTERS, and WYSE TERMINALS.
- ___ Check that all STE KEYS have been removed from the PHONE UNITS, as well as the CLASSIFIED FAX (located in G-347)
(The fax key is usually laying on the shelf -- black square)
- ___ Check that all PERSONAL ITEMS have been turned off, including FANs, Heaters

- COFFEE POTs, and 2 AIR PURIFIER MACHINES (located in G-359)
- Secure all FLUTTERING ITEMS, including LOOSE PAPERS OVER VENTS, BALLOONS, etc., to avoid setting off the motion-sensor alarm
- Check that all DOOR LOCKS have been pushed-in
- Turn off the LIGHTS
- Initial, date, and check-off the items as completed (make sure to read so you don't miss anything) the ACTIVITY SECURITY CHECKLIST sheet (located on the wall next to the vault hallway-entrance door (G-347)
- Sign-out for the day (if you haven't already done so)
- Turn off the LIGHT in G-347 as you exit (if you haven't already done so)
- Exit thru the vault hallway-entrance DOOR (G-347), and lock it
(Turn the combination lock 1-2 full turns to the right and then 1 full turn to the left -- try to open the door -- swipe your badge and enter your pin number and try to open the door by pushing and turning the door knob)
- For the applicable date, enter your initials and the time on the SF-702 under the "Closed By" column
- Ensure that all EXTERIOR DOORS to the vault (G-335 thru G-359) are locked
(Try to open the doors by pushing and turning the knobs -- skip the door at G-363 (not part of the vault) -- enter thru G-365 -- verify the end door of the vault's interior-hallway is sealed
(try to open the door by turning the knob and pulling))
- Enter the copier room (G-347), turn-off the COPIER (Do not turn-off the COLOR PRINTER), and turn-off the LIGHT
- 2nd-check all the vault DOORS as being locked as you come back up the hall
- 2nd-check the CATS hallway-entrance DOOR (G-337) as being locked
(Turn the combination lock 1-2 full turns to the right and then 1 full turn to the left -- try to open the door)
- For the applicable date, enter your initials and the time on the SF-702 under the "Checked By" column (must be 1+ minutes past the "Closed By" time)
- 2nd-check the vault hallway-entrance DOOR (G-347) as being locked
(Turn the combination lock 1-2 full turns to the right and then 1 full turn to the left -- try to open the door -- swipe your badge, and enter your pin number -- again try to open the door by pushing and turning the door knob)
- Set the ALARM
(On the keypad, press "*" (asterisk/star) and then "ON" -- swipe your badge, and enter your pin number -- listen for 1 long beep, and check that the the read light is solid))
- 2nd-check that the ALARM is set
(Swipe your badge again, and enter your pin number -- listen for 3 short beeps, and check that the key pad window displays "ACCESS DENIED" -- If this does not occur, the alarm has not been properly set)
- For the applicable date, enter your initials and the time on the SF-702 under the "Checked By" column (must be 1+ minutes past the "Closed By" time)

IF YOU ARE NOT SURE YOU HAVE SECURED THE VAULT PROPERLY, CALL THE GUARDS AT 3-2403 (the vault account # is posted on the blue sign on the door of G-347).

Change Notice 1 to Statutory Reviews Program Operating Procedures

Make the below changes to the 4/10/07 SRP Operating Procedures:

- **Post this page after the front cover page**
- **Remove pages 42 & 43 and replace with pages 42(c1), 43(c1) and 43a(c1)**
- **Remove pages 68 and replace with page 68(c1)**

APPROVED:

-signed-

James E. Greening, Team Leader
Statutory Reviews Program
Office of Document Reviews
Office of Classification
Office of Health, Safety and Security

2. ensure that both reviewers sign all the classification stamps;
3. Fill out the correspondence template
4. update the CATS review history.
5. Give package to an SDR for technical accuracy and completeness checks.

E. Inadvertent Compromises

Correspondence forwarding documents to other agencies for declassification review is generated on an unclassified Local Area Network (LAN), and documents sent for coordination are tracked by an unclassified database. For these reasons, reviewers must always be on guard for the possibility of inadvertent compromises due to classified titles that are unmarked or incorrectly marked and/or where the requester's request creates classified associations with otherwise unclassified titles or other information.

F. OpenNet

All documents declassified and made publicly releasable by the DOE on or after October 1, 1994, must have bibliographic information made available to be entered into the DOE OpenNet database. Correspondence responding to a request for a declassification review contains a reminder for DOE organizations that information must be included in OpenNet, and includes procedures for furnishing OpenNet with the required information. See Attachment G, "OpenNet Requirements."

G. Information for the Requester

When a document contains classified information, SRP's correspondence to the initiator may include an attachment titled "Information for Requester" which contains the name of all Denying Officials (for FOIAs only), other legal information concerning the deletions, and appeal information. See Attachment H for a sample "Information for the Requester."

XXII. Preparing Reports

CATS is being modified to generate all of SRP's reoccurring reports. A SRP PA generates the reports from CATS when needed. Since this is a recent revision to CATS problems may be encountered when reports are generated. The PA will report all problems to the CATS development team and the SRP team leader.

XXIII. Vault Security Procedures

A. Access Control

a. Access to SRP Vault

Personnel that are approved for access to the SRP vault are listed on the Access Authorization List posted on the back of the SRP vault door. Access levels are shown on the list as Access Level A or Access Level B. Personnel with either access level are authorized unescorted access to the SRP vault. They must sign in on the G Vault Personnel Arrival/Departure Log when they first enter the vault and sign out when they last leave the vault for the day.

Personnel with B level access may open or close the vault using the procedures posted on the outside of the vault to the left of the card swipe and may enter the vault by using the card reader/keypad access. All SRP personnel authorized to open or close the vault should ensure that they have been trained to do so before they do it.

Personnel with A level access may enter the open SRP vault using the card reader/keypad access. They are not authorized to open or close the vault.

Anyone not on the Access Authorization List needing access to the SRP vault is a visitor. Visitors must sign in and out on the Vault and Room Entry log every time they enter or leave the vault and must be escorted at all times. They gain entry to the vault by pushing the door buzzer to the left of the vault door. Who ever lets the visitor into the vault is responsible for either escorting the visitor or making sure that another escort is provided. The escort must sign the escort column to the right of the visitor's signature on the Vault and Room Entry log. Escorts must be especially careful to make sure that uncleared visitors do not inadvertently view classified information.

b. Opening Procedures

SRP personnel with B level access must follow very specific procedures to open the vault. The procedures for changing the alarm system from the secure mode to the access mode and unlocking the vault door are posted on the outside of the vault to the left of the card swipe. Once this has been done, fill out the SF-702 on the front of the vault door. Then enter by swiping your card in the card reader and entering your pin number. After entry, sign in on the G Vault Personnel Arrival/Departure Log.

3. Closing Procedures

The last SRP staff member with a B access level to leave the vault for the day is responsible for closing the vault. Before closing the vault perform all the functions shown on the checklist at attachment J. Then fill out and sign the activity security checklist on the wall to the left of the inside of the vault door. After exiting the vault, spin the lock several times to lock the lock. Then use the card reader/keypad to change the alarm system from the access mode to the secure mode. Procedures are posted to the left of the vault door. Then try to enter the vault by swiping your badge and entering your pin number. If the vault is in the secure mode you will not be able to do this. Then check all of the outside vault doors including the door in room G-363 to make sure that they are secure. Finally fill out the SF-702 on the vault door. Make every effort to find someone to do a double check that the vault door is locked and all of the other outside doors are secure and fill out the double check column on the SF-702. If no one else is available, then check all the doors again and initial the double check box yourself.

4. Entry Door Combination Changes

The combination to the main entry door must be changed at least annually or at the earliest possible time after one of the following occurrences:

- Reassignment, transfer, or termination of any person knowing the combination.
- Downgrading of a "Q" cleared person knowing the combination.
- Compromise or possible compromise of the combination.
- Initial receipt of a new or repaired combination lock on the door.

SRP staff must notify the HSO if any of the above situations occur.

The combination must be recorded on an SF-700 Part 2a, which is marked with at the highest level and category of the information contained within the IMC. The SF-700 Part 2 and 2a is sealed per instructions on the form and must be given to the HSO.

Part one of the SF-700 must be properly filled out and attached to the back of the vault entry door (G-347).

5. Classified Information

Open storage of and discussions of classified material up to the Secret RD level and category is allowed in the vault. Detailed procedures for the storage, handling and security of Top Secret material are given in attachment I.

I. LIMITATIONS

Top Secret Materials (TSM) requiring declassification reviews by the Statutory Reviews Program (SRP) Team will be stored in the TS safe in room G-343, hereafter referred to as the SRP TS safe, in the 3rd Floor G-Wing vault-type room accessed through G-347 (hereafter referred to as the vault). The exceptions to this statement are incoming TSM that is being logged into the Computer Action Tracking System (CATS), outgoing TSM that is being dispatched from the CATS, and open coordinate reviews awaiting coordinate review responses. During these times, the TSM will be stored by the File Room Team in room H-303 (specifically houses Sigma 14 and/or NATO) or the CATS Team in room G-337 (which houses all other TSM). The vault has not been authorized for Top Secret (TS) discussions. There is no secure communications equipment authorized for TS transmission from the vault. There is no copying equipment authorized for reproduction of TSM, nor any computer system authorized for the generation or storage of TS information within the vault.

TSM will not be received or stored for other organizations except in case of an emergency.

II. GENERAL

This procedure is a SRP supplement to the Headquarters Facilities Master Security Plan (MSP). As such, it covers storage, handling and security procedures for TSM maintained in the vault for which SRP is responsible. The MSP and other applicable directives should be consulted for procedures regarding the authorized open storage of Secret Restricted Data or other classified information within the vault.

TSM is accountable. The SRP will be responsible for internal control and accountability of actions transferred to and from the SRP TS safe and/or internally-generated TSM. "Control" refers to the prevention of unauthorized access, while "accountability" refers to maintenance of an audit trail capturing access to, location, and final disposition of various TSM.

III. STATUTORY REVIEWS PROGRAM TOP SECRET MATERIALS ACCESS CONTROL

TSM is not authorized for open storage in the vault. TSM in the vault shall be kept locked inside the SRP TS safe or the CATS TS safe when not in use. When removed from the SRP TS safe, TSM shall be constantly controlled by or under the custody of persons authorized access to it. Whenever the SRP safe is not locked, it shall be constantly controlled by an authorized custodian of SRP TSM known as the open safe custodian. Line of sight control is required.

It is intended that TSM remain in the vault and in close proximity to the SRP TS safe whenever practicable. When TSM has been removed from the SRP TS safe for classification or declassification review, the review should usually be conducted within the SRP vault and the reviewer is responsible for the custody of the TSM. TSM shall be covered by TS cover sheets whenever the material is not in use. If the review is not conducted in room G-343 the reviewer must note where the TSM is being taken on the green check out card and insure that someone else in the room has been designated as the open safe custodian.

The SRP TS safe should not be locked when any SRP TSM is absent from it. Should the safe need to be

STATUS OF MANDATORY REQUESTS

Status as of 12/22/08

HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
Other			
Original Number: HS91-08-N2-0029 New for 2nd Review: HS91-08-N2-0045	Kindred Spirit Analytical Group (KSAG) Report on Wen Ho Lee, D	04/30/2009	Letters sent to IG/TN 10/6/08 IN is conducting review of AI report
HS90-07-N1-0034	Report by Los Alamos Scientific Laboratory, "Proceedings of the Tactical Nuclear Weapons Symposium," 9/3/69, P1-29, Report number LASL-LA-4350-MS	04/30/2009	Sent to DoD 09/08/2008
HS90-08-N1-0014	Film – Operation Castle JTF Commanders Report Film - Operation Upshot-Knothole	04/30/2009	11/18/08-Films located, first review being conducted
HS90-08-N1-0015	Future of Non-Strategic Nuclear Forces: Are These Capabilities Still Needed? - Los Alamos Report LA-12063-MS, April 30, 1991 Potential NSNF Weapons Concepts for the 21st Century, Joint DOE Laboratories Briefing to the DPB/DSB Task Force on Non- Strategic Nuclear Forces, December 17, 1991 Battlefield Nuclear Deterrence: Vital and Viable Without Army Weapons, Los Alamos Report LA-UR-92-94, January 1992	04/30/2009	Sent for Response 08/25/2008.

STATUS OF MANDATORY REQUESTS

Status as of 01/06/09

HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
Other			
Original Number: HS91-08-N2-0029 New for 2nd Review: HS91-08-N2-0045	Kindred Spirit Analytical Group (KSAG) Report on Wen Ho Lee, D	04/30/2009	Letters sent to IG/TN 10/6/08 IN is conducting review of AI report
HS90-07-N1-0034	Report by Los Alamos Scientific Laboratory, "Proceedings of the Tactical Nuclear Weapons Symposium," 9/3/69, P1-29, Report number LASL-LA-4350-MS	04/30/2009	Sent to DoD 09/08/2008
HS90-08-N1-0014	Film – Operation Castle JTF Commanders Report Film - Operation Upshot-Knothole	04/30/2009	11/18/08-Films located, first review being conducted
HS90-08-N1-0015	Future of Non-Strategic Nuclear Forces: Are These Capabilities Still Needed? - Los Alamos Report LA-12063-MS, April 30, 1991 Potential NSNF Weapons Concepts for the 21st Century, Joint DOE Laboratories Briefing to the DPB/DSB Task Force on Non- Strategic Nuclear Forces, December 17, 1991 Battlefield Nuclear Deterrence: Vital and Viable Without Army Weapons, Los Alamos Report LA-UR-92-94, January 1992	04/30/2009	Sent for Response 08/25/2008.

STATUS OF MANDATORY REQUESTS**Status as of 01/30/09**

HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
Other			
Original Number: HS91-08-N2-0029 New for 2nd Review: HS91-08-N2-0045	Kindred Spirit Analytical Group (KSAG) Report on Wen Ho Lee, I	04/30/2009	Letters sent to IG/IN 10/6/08 IN is conducting review of AI report
HS90-07-N1-0034	Report by Los Alamos Scientific Laboratory, "Proceedings of the Tactical Nuclear Weapons Symposium," 9/3/69, P1-29, Report number LASL-LA-4350-MS	04/30/2009	Sent to DoD 09/08/2008
HS90-08-N1-0014	Film – Operation Castle JTF Commanders Report Film - Operation Upshot-Knothole	04/30/2009	11/18/08-Films located, first review being conducted

STATUS OF MANDATORY REQUESTS**Status as of 01/30/09**

HSCT Number	Document Summary	Date Due	Status
HS90-08-N1-0015	<p>Future of Non-Strategic Nuclear Forces: Are These Capabilities Still Potential NSNF Weapons Concepts for the 21st Century, Joint DOE Laboratories Briefing to the DPB/DSB Task Force on Non-Strategic Nuclear Forces, December 17, 1991</p> <p>Battlefield Nuclear Deterrence: Vital and Viable Without Army Weapons, Los Alamos Report LA-UR-92-94, January 1992</p>	04/30/2009	Sent for Response 08/25/2008.
HS90-08-N1-0015 MDR 2009-000	Request for the review and release of "the record of a briefing on Taiwanese nuclear activities that Lawrence Livermore National Laboratory staffers presented to State Department officials on or about 23 April 1987."	01/31/2010	Request Received. Correspondence packages prepared to requestor (acknowledgement) and to NNSA (document search) Packages in concurrence.

STATUS OF MANDATORY REQUESTS

Status as of 02/18/09

HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
Other			
Original Number: HS91-08-N2-0029 New for 2nd Review: HS91-08-N2-0045	Kindred Spirit Analytical Group (KSAG) Report on Wen Ho Lee, I	04/30/2009	Letters sent to IG/IN 10/6/08 IN is conducting review of AI report
HS90-07-N1-0034	Report by Los Alamos Scientific Laboratory, "Proceedings of the Tactical Nuclear Weapons Symposium," 9/3/69, P1-29, Report number LASL-LA-4350-MS	04/30/2009	Sent to DOD 09/08/2008 by HS-93 for Coordinate review.
HS90-08-N1-0014	Film – Operation Castle JTF Commanders Report Film - Operation Upshot-Knothole	04/30/2009	11/18/08-Films located, first review being conducted

STATUS OF MANDATORY REQUESTS**Status as of 02/18/09**

HSCT Number	Document Summary	Date Due	Status
HS90-08-N1-0015	<p>Future of Non-Strategic Nuclear Forces: Are These Capabilities Still Potential NSNF Weapons Concepts for the 21st Century, Joint DOE Laboratories Briefing to the DPB/DSB Task Force on Non-Strategic Nuclear Forces, December 17, 1991</p> <p>Battlefield Nuclear Deterrence: Vital and Viable Without Army Weapons, Los Alamos Report LA-UR-92-94, January 1992</p>	04/30/2009	Sent for Response 08/25/2008.
HS90-08-N1-0015 MDR 2009-000	Request for the review and release of "the record of a briefing on Taiwanese nuclear activities that Lawrence Livermore National Laboratory staffers presented to State Department officials on or about 23 April 1987."	01/31/2010	Correspondence packages prepared to requestor (acknowledgement) and to NNSA (document search) Packages sent. Document search underway by NNSA.

STATUS OF MANDATORY REQUESTS**Status as of 03/05/09**

HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
Other			
Original Number: HS91-08-N2-0029 New for 2nd Review: HS91-08-N2-0045	Kindred Spirit Analytical Group (KSAG) Report on Wen Ho Lee, DOE Administrative Inquiry (AI) Report on Wen Ho Lee Investigation	04/30/2009	Letters sent to IG/IN 10/6/08 IN is conducting review of AI report. Checked with Rick Ferrell of IN on 03/04. He said he would check on status.
HS90-07-N1-0034	Report by Los Alamos Scientific Laboratory, "Proceedings of the Tactical Nuclear Weapons Symposium," 9/3/69, P1-29, Report number LASL-LA-4350-MS	04/30/2009	Sent to DOD 09/08/2008 by HS-93 for Coordinate review.
HS90-08-N1-0014	Film – Operation Castle JTF Commanders Report Film - Operation Upshot-Knothole	04/30/2009	11/18/08-Films located, first review being conducted

STATUS OF MANDATORY REQUESTS**Status as of 03/05/09**

HSCT Number	Document Summary	Date Due	Status
HS90-08-N1-0015	<p>Future of Non-Strategic Nuclear Forces: Are These Capabilities Still Potential NSNF Weapons Concepts for the 21st Century, Joint DOE Laboratories Briefing to the DPB/DSB Task Force on Non-Strategic Nuclear Forces, December 17, 1991</p> <p>Battlefield Nuclear Deterrence: Vital and Viable Without Army Weapons, Los Alamos Report LA-UR-92-94, January 1992</p>	04/30/2009	Sent for Response 08/25/2008.
HS90-08-N1-0015 MDR 2009-000	Request for the review and release of "the record of a briefing on Taiwanese nuclear activities that Lawrence Livermore National Laboratory staffers presented to State Department officials on or about 23 April 1987."	01/31/2010	Correspondence packages prepared to requestor (acknowledgement) and to NNSA (document search) Packages sent. Document search being conducted by NNSA.

STATUS OF MANDATORY REQUESTS

Status as of 03/20/09

HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
Other			
Original Number: HS91-08-N2-0029 New for 2nd Review: HS91-08-N2-0045	Kindred Spirit Analytical Group (KSAG) Report on Wen Ho Lee, DOE Administrative Inquiry (AI) Report on Wen Ho Lee Investigation	10/30/2009	Letters sent to IG/IN 10/6/08 IN is conducting review of AI report. Est. completion by IN 04/30/2009
HS90-07-N1-0034 CATS No. 20080002070	Report by Los Alamos Scientific Laboratory, "Proceedings of the Tactical Nuclear Weapons Symposium," 9/3/69, P1-29, Report number LASL-LA-4350-MS	10/30/2009	Sent to DOD 09/08/2008 by HS-93 for Coordinate review. Completion date from DOD not available.
HS90-08-N1-0014	Film – Operation Castle JTF Commanders Report Film - Operation Upshot-Knothole	10/30/2009	First review complete. Package en-route to HS-93 for second review.

STATUS OF MANDATORY REQUESTS**Status as of 03/20/09**

HSCT Number	Document Summary	Date Due	Status
HS90-08-N1-0015	<p>Future of Non-Strategic Nuclear Forces: Are These Capabilities Still Needed? - Los Alamos Report LA-12063-MS, April 30, 1991</p> <p>Potential NSNF Weapons Concepts for the 21st Century, Joint DOE Laboratories Briefing to the DPB/DSB Task Force on Non-Strategic Nuclear Forces, December 17, 1991</p> <p>Battlefield Nuclear Deterrence: Vital and Viable Without Army Weapons, Los Alamos Report LA-UR-92-94, January 1992</p>	10/30/2009	Sent for Response 08/25/2008. Contacted NNSA 03/19/2009 (Vince Vecera) for status. NNSA checking on status with LANL.
HS90-08-N1-0015 MDR 2009-0001	Request for the review and release of "the record of a briefing on Taiwanese nuclear activities that Lawrence Livermore National Laboratory staffers presented to State Department officials on or about 23 April 1987."	01/31/2010	Correspondence packages prepared to requestor (acknowledgement) and to NNSA (document search) Packages sent. Contacted NNSA 03/19/2009 (Vince Vecera) for status. NNSA checking on status with LLNL.

STATUS OF MANDATORY REQUESTS**Status as of 04/03/09**

HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
Other			
Original Number: HS91-08-N2-0029 New for 2nd Review: HS91-08-N2-0045	Kindred Spirit Analytical Group (KSAG) Report on Wen Ho Lee, DOE Administrative Inquiry (AI) Report on Wen Ho Lee Investigation	10/30/2009	Letters sent to IG/IN 10/6/08 IN is conducting review of AI report. Est. completion by IN 04/30/2009
HS90-07-N1-0034 CATS No. 20080002070	Report by Los Alamos Scientific Laboratory, "Proceedings of the Tactical Nuclear Weapons Symposium," 9/3/69, P1-29, Report number LASL-LA-4350-MS	10/30/2009	Sent to DOD 09/08/2008 by HS-93 for Coordinate review. Completion date from DOD not available.
HS90-08-N1-0014	Film – Operation Castle JTF Commanders Report Film - Operation Upshot-Knothole	10/30/2009	First review complete. Package en-route to HS-93 for second review.

STATUS OF MANDATORY REQUESTS**Status as of 04/03/09**

HSCT Number	Document Summary	Date Due	Status
HS90-08-N1-0015	<p>Future of Non-Strategic Nuclear Forces: Are These Capabilities Still Needed? - Los Alamos Report LA-12063-MS, April 30, 1991</p> <p>Potential NSNF Weapons Concepts for the 21st Century, Joint DOE Laboratories Briefing to the DPB/DSB Task Force on Non-Strategic Nuclear Forces, December 17, 1991</p> <p>Battlefield Nuclear Deterrence: Vital and Viable Without Army Weapons, Los Alamos Report LA-UR-92-94, January 1992</p>	10/30/2009	Sent for Response 08/25/2008. Contacted NNSA 03/19/2009 (Vince Vecera) for status. NNSA checking on status with LANL.
HS90-08-N1-0015 MDR 2009-0001	Request for the review and release of "the record of a briefing on Taiwanese nuclear activities that Lawrence Livermore National Laboratory staffers presented to State Department officials on or about 23 April 1987."	01/31/2010	Correspondence packages prepared to requestor (acknowledgement) and to NNSA (document search) Packages sent. Contacted NNSA 03/19/2009 (Vince Vecera) for status. NNSA checking on status with LLNL.

STATUS OF MANDATORY REQUESTS**Status as of 05/04/09**

HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
Other			
Original Number: HS91-08-N2-0029 New for 2nd Review: HS91-08-N2-0045	Kindred Spirit Analytical Group (KSAG) Report on Wen Ho Lee, DOE Administrative Inquiry (AI) Report on Wen Ho Lee Investigation	10/30/2009	Letters sent to IG/IN 10/6/08 IN is conducting review of AI report. Est. completion by IN 04/30/2009
HS90-07-N1-0034 CATS No. 20080002070	Report by Los Alamos Scientific Laboratory, "Proceedings of the Tactical Nuclear Weapons Symposium," 9/3/69, P1-29, Report number LASL-LA-4350-MS	10/30/2009	Classification Review complete. Package in HS-93 Admin prep. Est. return to HS-91 nlt May 29.
HS90-08-N1-0014	Film – Operation Castle JTF Commanders Report Film - Operation Upshot-Knothole	10/30/2009	Package in HS-93 for second review. Est. completion Aug 31.

STATUS OF MANDATORY REQUESTS**Status as of 05/04/09**

HSCT Number	Document Summary	Date Due	Status
HS90-08-N1-0015	<p>Future of Non-Strategic Nuclear Forces: Are These Capabilities Still Needed? - Los Alamos Report LA-12063-MS, April 30, 1991</p> <p>Potential NSNF Weapons Concepts for the 21st Century, Joint DOE Laboratories Briefing to the DPB/DSB Task Force on Non-Strategic Nuclear Forces, December 17, 1991</p> <p>Battlefield Nuclear Deterrence: Vital and Viable Without Army Weapons, Los Alamos Report LA-UR-92-94, January 1992</p>	10/30/2009	Documents are in classification review at LANL.
HS90-08-N1-0015 MDR 2009-0001	Request for the review and release of "the record of a briefing on Taiwanese nuclear activities that Lawrence Livermore National Laboratory staffers presented to State Department officials on or about 23 April 1987."	01/31/2010	Contacted NNSA 05/04/2009 (Vince Vecera) for status. LLNL says review is complete and status is closed. Vecera is asking LLNL for clarification.

STATUS OF MANDATORY REQUESTS**Status as of 05/29/09**

HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
Other			
Original Number: HS91-08-N2-0029 New for 2nd Review: HS91-08-N2-0045	Kindred Spirit Analytical Group (KSAG) Report on Wen Ho Lee, DOE Administrative Inquiry (AI) Report on Wen Ho Lee Investigation	10/30/2009	Letters sent to IG/IN 10/6/08 IN is conducting review of AI report. Est. completion by IN 06/30/2009
HS90-07-N1-0034 CATS No. 20080002070	Report by Los Alamos Scientific Laboratory, "Proceedings of the Tactical Nuclear Weapons Symposium," 9/3/69, P1-29, Report number LASL-LA-4350-MS	10/30/2009	Classification Review complete. Package in HS-93 Admin prep. HS-91 should receive during week of June 1. Will complete correspondence and dispatch
HS90-08-N1-0014	Film – Operation Castle JTF Commanders Report Film - Operation Upshot-Knothole	10/30/2009	Package in HS-93 for second review. Est. completion Aug 31.

STATUS OF MANDATORY REQUESTS**Status as of 05/29/09**

HSCT Number	Document Summary	Date Due	Status
HS90-08-N1-0015	<p>Future of Non-Strategic Nuclear Forces: Are These Capabilities Still Needed? - Los Alamos Report LA-12063-MS, April 30, 1991</p> <p>Potential NSNF Weapons Concepts for the 21st Century, Joint DOE Laboratories Briefing to the DPB/DSB Task Force on Non-Strategic Nuclear Forces, December 17, 1991</p> <p>Battlefield Nuclear Deterrence: Vital and Viable Without Army Weapons, Los Alamos Report LA-UR-92-94, January 1992</p>	10/30/2009	Documents are in classification review at LANL.*
HS90-08-N1-0015 MDR 2009-0001	Request for the review and release of "the record of a briefing on Taiwanese nuclear activities that Lawrence Livermore National Laboratory staffers presented to State Department officials on or about 23 April 1987."	01/31/2010	Contacted NNSA 05/04/2009 (Vince Vecera) for status. LLNL says review is complete and status is closed. Vecera is asking LLNL for clarification.*

* During last request for status, Laboratory replies indicate that they may have responded directly to requestor on some of these documents. Vince Vecera is researching.

STATUS OF MANDATORY REQUESTS**Status as of 06/29/09**

HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
Other			
Original Number: HS91-08-N2-0029 New for 2nd Review: HS91-08-N2-0045	Kindred Spirit Analytical Group (KSAG) Report on Wen Ho Lee, DOE Administrative Inquiry (AI) Report on Wen Ho Lee Investigation	10/30/2009	Letters sent to IG/IN 10/6/08 IN is conducting review of AI report. Est. completion by IN week of 06/29/2009. Checking with IN for further status.
HS90-07-N1-0034 CATS No. 20080002070	Report by Los Alamos Scientific Laboratory, "Proceedings of the Tactical Nuclear Weapons Symposium," 9/3/69, P1-29, Report number LASL-LA-4350-MS	10/30/2009	Classification Review complete. Package is in final HS-93 QA. HS-91 should receive during week of June 29. Will complete correspondence and dispatch
HS90-08-N1-0014 CATS No. 20090003107	Film – Operation Castle JTF Commanders Report Film - Operation Upshot-Knothole	10/30/2009	Package in HS-93 for second review. Est. completion Aug 31.

STATUS OF MANDATORY REQUESTS**Status as of 06/29/09**

HSCT Number	Document Summary	Date Due	Status
HS90-08-N1-0015	<p>Future of Non-Strategic Nuclear Forces: Are These Capabilities Still Needed? - Los Alamos Report LA-12063-MS, April 30, 1991</p> <p>Potential NSNF Weapons Concepts for the 21st Century, Joint DOE Laboratories Briefing to the DPB/DSB Task Force on Non-Strategic Nuclear Forces, December 17, 1991</p> <p>Battlefield Nuclear Deterrence: Vital and Viable Without Army Weapons, Los Alamos Report LA-UR-92-94, January 1992</p>	10/30/2009	Documents are in classification review at LANL.*
HS90-09-N1-0002 MDR 2009-0001	Request for the review and release of "the record of a briefing on Taiwanese nuclear activities that Lawrence Livermore National Laboratory staffers presented to State Department officials on or about 23 April 1987."	01/31/2010	Contacted NNSA 05/04/2009 (Vince Vecera) for status. LLNL says review is complete and status is closed. Vecera is asking LLNL for clarification.*

* During last request for status, Laboratory replies indicate that they may have responded directly to requestor on some of these documents. Vince Vecera is researching.

STATUS OF MANDATORY REQUESTS**Status as of 07/24/09**

HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
Other			
Original Number: HS91-08-N2-0029 New for 2nd Review: HS91-08-N2-0045	Kindred Spirit Analytical Group (KSAG) Report on Wen Ho Lee, DOE Administrative Inquiry (AI) Report on Wen Ho Lee Investigation	10/30/2009	Document review by IN complete. Awaiting correspondence transmitting document from IN. KSAG Report is DOJ document, and not in DOE possession.
HS90-07-N1-0034 CATS No. 20080002070	Report by Los Alamos Scientific Laboratory, "Proceedings of the Tactical Nuclear Weapons Symposium," 9/3/69, P1-29, Report number LASL-LA-4350-MS	10/30/2009	Classification Review complete. In HS-91 possession for redaction and processing.
HS90-08-N1-0014 CATS No. 20090003107	Film – Operation Castle JTF Commanders Report Film - Operation Upshot-Knothole	10/30/2009	Package in HS-93 for second review. Est. completion Aug 31.

STATUS OF MANDATORY REQUESTS**Status as of 07/24/09**

HSCT Number	Document Summary	Date Due	Status
HS90-08-N1-0015	<p>Future of Non-Strategic Nuclear Forces: Are These Capabilities Still Needed? - Los Alamos Report LA-12063-MS, April 30, 1991</p> <p>Potential NSNF Weapons Concepts for the 21st Century, Joint DOE Laboratories Briefing to the DPB/DSB Task Force on Non-Strategic Nuclear Forces, December 17, 1991</p> <p>Battlefield Nuclear Deterrence: Vital and Viable Without Army Weapons, Los Alamos Report LA-UR-92-94, January 1992</p>	10/30/2009	<p>Documents are in classification review at LANL.</p> <p>Contacted Dan Gerth (phone message), 07/24 to confirm status.</p>
HS90-09-N1-0002 MDR 2009-0001	Request for the review and release of "the record of a briefing on Taiwanese nuclear activities that Lawrence Livermore National Laboratory staffers presented to State Department officials on or about 23 April 1987."	01/31/2010	LLNL confirmed that they do not have any responsive records. Correspondence to requestor in process.

STATUS OF MANDATORY REQUESTS**Status as of 07/31/09**

HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
Other			
Original Number: HS91-08-N2-0029 New for 2nd Review: HS91-08-N2-0045	Kindred Spirit Analytical Group (KSAG) Report on Wen Ho Lee, DOE Administrative Inquiry (AI) Report on Wen Ho Lee Investigation	10/30/2009	Document review by IN complete. Awaiting correspondence transmitting document from IN. KSAG Report is DOJ document, and not in DOE possession.
HS90-07-N1-0034 CATS No. 20080002070	Report by Los Alamos Scientific Laboratory, "Proceedings of the Tactical Nuclear Weapons Symposium," 9/3/69, P1-29, Report number LASL-LA-4350-MS	10/30/2009	Classification Review complete. In HS-91 possession for redaction and processing.
HS90-08-N1-0014 CATS No. 20090003107	Film – Operation Castle JTF Commanders Report Film - Operation Upshot-Knothole	10/30/2009	Package in HS-93 for second review. Est. completion Aug 31.

STATUS OF MANDATORY REQUESTS**Status as of 07/31/09**

HSCT Number	Document Summary	Date Due	Status
HS90-08-N1-0015	<p>Future of Non-Strategic Nuclear Forces: Are These Capabilities Still Needed? - Los Alamos Report LA-12063-MS, April 30, 1991</p> <p>Potential NSNF Weapons Concepts for the 21st Century, Joint DOE Laboratories Briefing to the DPB/DSB Task Force on Non-Strategic Nuclear Forces, December 17, 1991</p> <p>Battlefield Nuclear Deterrence: Vital and Viable Without Army Weapons, Los Alamos Report LA-UR-92-94, January 1992</p>	10/30/2009	Contacted Dan Gerth 07/31 to confirm status. He is under impression that action is complete. It is possible that Los Alamos or Service Center responded directly to requestor. Dan Gerth is researching.
HS90-09-N1-0002 MDR 2009-0001	Request for the review and release of "the record of a briefing on Taiwanese nuclear activities that Lawrence Livermore National Laboratory staffers presented to State Department officials on or about 23 April 1987."	01/31/2010	LLNL confirmed that they do not have any responsive records. Correspondence to requestor in process.

STATUS OF MANDATORY REQUESTS**Status as of 09/22/09**

HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
Other			
Original Number: HS91-08-N2-0029 New for 2nd Review: HS91-08-N2-0045	Kindred Spirit Analytical Group (KSAG) Report on Wen Ho Lee, DOE Administrative Inquiry (AI) Report on Wen Ho Lee Investigation	10/30/2009	Document review by IN complete. Awaiting correspondence transmitting document from IN. (Last contacted 09/22/2009) KSAG Report is DOJ document, and not in DOE possession.
HS90-07-N1-0034 CATS No. 20080002070	Report by Los Alamos Scientific Laboratory, "Proceedings of the Tactical Nuclear Weapons Symposium," 9/3/69, P1-29, Report number LASL-LA-4350-MS	10/30/2009	Document remanded to contractor / HS-93 for further review 09/22/2009.
HS90-08-N1-0014 CATS No. 20090003107	Film – Operation Castle JTF Commanders Report Film - Operation Upshot-Knothole	10/30/2009	Package in HS-93. Review complete. No further info can be released. HS-93 checking to confirm that current redacted version matches what was sent before.

STATUS OF MANDATORY REQUESTS**Status as of 09/22/09**

HSCT Number	Document Summary	Date Due	Status
HS90-08-N1-0015	<p>Future of Non-Strategic Nuclear Forces: Are These Capabilities Still Needed? - Los Alamos Report LA-12063-MS, April 30, 1991</p> <p>Potential NSNF Weapons Concepts for the 21st Century, Joint DOE Laboratories Briefing to the DPB/DSB Task Force on Non-Strategic Nuclear Forces, December 17, 1991</p> <p>Battlefield Nuclear Deterrence: Vital and Viable Without Army Weapons, Los Alamos Report LA-UR-92-94, January 1992</p>	10/30/2009	Contacted Dan Gerth 07/31 to confirm status. He is under impression that action is complete. It is possible that Los Alamos or Service Center responded directly to requestor. Dan Gerth is researching. Request for update sent 09/22/2009.
HS90-09-N1-0002 MDR 2009-0001	Request for the review and release of "the record of a briefing on Taiwanese nuclear activities that Lawrence Livermore National Laboratory staffers presented to State Department officials on or about 23 April 1987."	01/31/2010	LLNL confirmed that they do not have any responsive records. Correspondence to requestor in process.

STATUS OF MANDATORY REQUESTS**Status as of 10/15/09**

HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
Other			
Original Number: HS91-08-N2-0029 New for 2nd Review: HS91-08-N2-0045	Kindred Spirit Analytical Group (KSAG) Report on Wen Ho Lee, DOE Administrative Inquiry (AI) Report on Wen Ho Lee Investigation	10/30/2009	Document review by IN complete. Awaiting correspondence transmitting document from IN. (Last contacted 09/22/2009) KSAG Report is DOJ document, and not in DOE possession.
HS90-07-N1-0034 CATS No. 20080002070	Report by Los Alamos Scientific Laboratory, "Proceedings of the Tactical Nuclear Weapons Symposium," 9/3/69, P1-29, Report number LASL-LA-4350-MS	10/30/2009	Document remanded to contractor / HS-93 for further review 09/22/2009.
HS90-08-N1-0014 CATS No. 20090003107	Film – Operation Castle JTF Commanders Report Film - Operation Upshot-Knothole	10/30/2009	Package delivered to HS-93. Review complete. Next step is to compare this copy to copy released in 1997, then response to requestor.

STATUS OF MANDATORY REQUESTS**Status as of 10/15/09**

HSCT Number	Document Summary	Date Due	Status
HS90-08-N1-0015	<p>Future of Non-Strategic Nuclear Forces: Are These Capabilities Still Needed? - Los Alamos Report LA-12063-MS, April 30, 1991</p> <p>Potential NSNF Weapons Concepts for the 21st Century, Joint DOE Laboratories Briefing to the DPB/DSB Task Force on Non-Strategic Nuclear Forces, December 17, 1991</p> <p>Battlefield Nuclear Deterrence: Vital and Viable Without Army Weapons, Los Alamos Report LA-UR-92-94, January 1992</p>	10/30/2009	Documents in Review in HS-93. No completion estimate available.
HS90-09-N1-0002 MDR 2009-0001	Request for the review and release of "the record of a briefing on Taiwanese nuclear activities that Lawrence Livermore National Laboratory staffers presented to State Department officials on or about 23 April 1987."	01/31/2010	LLNL confirmed that they do not have any responsive records. Correspondence to requestor in process.

STATUS OF MANDATORY REQUESTS**Status as of 02/01/2010**

HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
Other			
Original Number: HS91-08-N2-0029 New for 2nd Review: HS91-10-N1-0014	Kindred Spirit Analytical Group (KSAG) Report on Wen Ho Lee, DOE Administrative Inquiry (AI) Report on Wen Ho Lee Investigation	12/31/2010	In HS-93 for document review. KSAG Report is DOJ document, and not in DOE possession.
HS90-10-N1-0010 CATS No. 20080002070	Report by Los Alamos Scientific Laboratory, "Proceedings of the Tactical Nuclear Weapons Symposium," 9/3/69, P1-29, Report number LASL-LA-4350-MS	12/31/2010	Document remanded to contractor / HS-93 for further review 09/22/2009.
HS90-08-N1-0014 CATS No. 20090003107	Film – Operation Castle JTF Commanders Report Film - Operation Upshot-Knothole	06/30/2010	Package in final form. In Concurrence.

STATUS OF MANDATORY REQUESTS**Status as of 02/01/2010**

HSCT Number	Document Summary	Date Due	Status
HS90-08-N1-0015	<p>Future of Non-Strategic Nuclear Forces: Are These Capabilities Still Needed? - Los Alamos Report LA-12063-MS, April 30, 1991</p> <p>Potential NSNF Weapons Concepts for the 21st Century, Joint DOE Laboratories Briefing to the DPB/DSB Task Force on Non-Strategic Nuclear Forces, December 17, 1991</p> <p>Battlefield Nuclear Deterrence: Vital and Viable Without Army Weapons, Los Alamos Report LA-UR-92-94, January 1992</p>	10/30/2009	Documents in Review in HS-93. No completion estimate available.
HS90-09-N1-0002 MDR 2009-0001	Request for the review and release of "the record of a briefing on Taiwanese nuclear activities that Lawrence Livermore National Laboratory staffers presented to State Department officials on or about 23 April 1987."	01/31/2010	Action complete/ closed. Response mailed 01/06/2010.

STATUS OF MANDATORY REQUESTS**Status as of 02/01/2010**

HSCT Number	Document Summary	Date Due	Status
HS91-09-N1-0014 Mandatory Review Number 20080002425- MIL	MDR Request from Wm. Burr. Sent to DOD. This Document, CG-NP-1, <i>Classification Guide for Nuclear Nonproliferation Information</i> , transferred to DOE.	12/31/2010	Package complete. In concurrence.

STATUS OF MANDATORY REQUESTS**Status as of 02/12/2010**

HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
Other			
Original Number: HS91-08-N2-0029 New for 2nd Review: HS91-10-N1-0014	Kindred Spirit Analytical Group (KSAG) Report on Wen Ho Lee, DOE Administrative Inquiry (AI) Report on Wen Ho Lee Investigation	12/31/2010	In HS-93 for document review. KSAG Report is DOJ document, and not in DOE possession.
HS90-10-N1-0010 CATS No. 20080002070	Report by Los Alamos Scientific Laboratory, "Proceedings of the Tactical Nuclear Weapons Symposium," 9/3/69, P1-29, Report number LASL-LA-4350-MS	12/31/2010	Document in HS-91. Redacted copy being made. Coord with HS-93 to confirm brackets.
HS90-08-N1-0014 CATS No. 20090003107	Film – Operation Castle JTF Commanders Report Film - Operation Upshot-Knothole	06/30/2010	Package in final form. In Concurrence.

STATUS OF MANDATORY REQUESTS**Status as of 02/12/2010**

HSCT Number	Document Summary	Date Due	Status
HS90-08-N1-0015	<p>Future of Non-Strategic Nuclear Forces: Are These Capabilities Still Needed? - Los Alamos Report LA-12063-MS, April 30, 1991</p> <p>Potential NSNF Weapons Concepts for the 21st Century, Joint DOE Laboratories Briefing to the DPB/DSB Task Force on Non-Strategic Nuclear Forces, December 17, 1991</p> <p>Battlefield Nuclear Deterrence: Vital and Viable Without Army Weapons, Los Alamos Report LA-UR-92-94, January 1992</p>	10/30/2009	Documents in Review in HS-93. No completion estimate available.
HS91-09-N1-0014 Mandatory Review Number 20080002425- MIL	MDR Request from Wm. Burr. Sent to DOD. This Document, CG-NP-1, <i>Classification Guide for Nuclear Nonproliferation Information</i> , transferred to DOE.	12/31/2010	Package complete. In concurrence. Returned to HS-91 for minor changes.

STATUS OF MANDATORY REQUESTS**Status as of 02/23/2010**

HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
Other			
Original Number: HS91-08-N2-0029 New for 2nd Review: HS91-10-N1-0014	Kindred Spirit Analytical Group (KSAG) Report on Wen Ho Lee, DOE Administrative Inquiry (AI) Report on Wen Ho Lee Investigation	12/31/2010	In HS-93 for document review. KSAG Report is DOJ document, and not in DOE possession.
HS90-10-N1-0010 CATS No. 20080002070	Report by Los Alamos Scientific Laboratory, "Proceedings of the Tactical Nuclear Weapons Symposium," 9/3/69, P1-29, Report number LASL-LA-4350-MS	12/31/2010	Document in HS-91. Redacted copy being made. Coord with HS-93 to confirm brackets.
HS90-08-N1-0014 CATS No. 20090003107	Film -- Operation Castle JTF Commanders Report Film - Operation Upshot-Knothole	06/30/2010	Package in final form. In Concurrence.

STATUS OF MANDATORY REQUESTS**Status as of 02/23/2010**

HSCT Number	Document Summary	Date Due	Status
HS90-08-N1-0015	<p>Future of Non-Strategic Nuclear Forces: Are These Capabilities Still Needed? - Los Alamos Report LA-12063-MS, April 30, 1991</p> <p>Potential NSNF Weapons Concepts for the 21st Century, Joint DOE Laboratories Briefing to the DPB/DSB Task Force on Non-Strategic Nuclear Forces, December 17, 1991</p> <p>Battlefield Nuclear Deterrence: Vital and Viable Without Army Weapons, Los Alamos Report LA-UR-92-94, January 1992</p>	10/30/2009	Documents in Review in HS-93. No completion estimate available.
HS91-09-N1-0014 Mandatory Review Number 20080002425- MIL	MDR Request from Wm. Burr. Sent to DOD. This Document, CG-NP-1, <i>Classification Guide for Nuclear Nonproliferation Information</i> , transferred to DOE.	12/31/2010	Package complete. In concurrence. Returned to HS-91 for minor changes.

STATUS OF MANDATORY REQUESTS**Status as of 02/23/2010**

HSCT Number	Document Summary	Date Due	Status
HS91-09-N1-0053 MDR 2010 - 0001	LAMS-599 "CMR-DIVISION PROGRESS REPORT 20 JUNE 1947 TO 20 JULY 1947" and LAMS-612 "CMR-DIVISION PROGRESS REPORT 20 JULY 1947 TO 20 AUGUST 1947."	06/30/2010	Documents in Review at Los Alamos. Status checked 02/02/2010

STATUS OF MANDATORY REQUESTS

Status as of 04/05/2010

HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
Other			
Original Number: HS91-08-N2-0029 New for 2nd Review: HS91-10-N1-0014	Kindred Spirit Analytical Group (KSAG) Report on Wen Ho Lee, DOE Administrative Inquiry (AI) Report on Wen Ho Lee Investigation	12/31/2010	In HS-93 for document review. KSAG Report is DOJ document, and not in DOE possession.
HS90-10-N1-0010 CATS No. 20080002070	Report by Los Alamos Scientific Laboratory, "Proceedings of the Tactical Nuclear Weapons Symposium," 9/3/69, P1-29, Report number LASL-LA-4350-MS	12/31/2010	Document in HS-91. Redacted copy being made. Coord with HS-93 to confirm brackets.
HS90-08-N1-0014 CATS No. 20090003107	Film – Operation Castle JTF Commanders Report Film - Operation Upshot-Knothole	06/30/2010	Package in final form. In Concurrence.

STATUS OF MANDATORY REQUESTS

Status as of 04/05/2010

HSCT Number	Document Summary	Date Due	Status
HS90-08-N1-0015	<p>Future of Non-Strategic Nuclear Forces: Are These Capabilities Still Needed? - Los Alamos Report LA-12063-MS, April 30, 1991</p> <p>Potential NSNF Weapons Concepts for the 21st Century, Joint DOE Laboratories Briefing to the DPB/DSB Task Force on Non-Strategic Nuclear Forces, December 17, 1991</p> <p>Battlefield Nuclear Deterrence: Vital and Viable Without Army Weapons, Los Alamos Report LA-UR-92-94, January 1992</p>	10/30/2009	Documents in Review in HS-93. No completion estimate available.
HS91-09-N1-0014 Mandatory Review Number 20080002425- MIL	MDR Request from Wm. Burr. Sent to DOD. This Document, CG-NP-1, <i>Classification Guide for Nuclear Nonproliferation Information</i> , transferred to DOE.	12/31/2010	Package complete. In concurrence. Returned to HS-91 for minor changes.

STATUS OF MANDATORY REQUESTS**Status as of 04/05/2010**

HSCT Number	Document Summary	Date Due	Status
HS91-09-N1-0053 MDR 2010 - 0001	LAMS-599 "CMR-DIVISION PROGRESS REPORT 20 JUNE 1947 TO 20 JULY 1947" and LAMS-612 "CMR-DIVISION PROGRESS REPORT 20 JULY 1947 TO 20 AUGUST 1947."	06/30/2010	Documents in Review at Los Alamos. Status checked 02/02/2010

FOIA and Mandatory Appeals**Status as of 8/18/08**

HSCT Number	Document Summary	Date Due	Status
HSCT #HS-91-N2-0025 A00000023	Appeal of Seven Documents from Coordinate Review	09/20/2008	Awaiting HS concurrence and signature. Meeting with Andy on 3/31/08 to discuss Action. Determined that we needed documentation from Paducah to complete analysis. Fletch Whitworth contacted Paducah on 3/31/08 and we are awaiting results. Fletch tried to reach Pauline Douglas regarding this matter on 5/20/2008. Received an update from Gabe Marciante on 6/5/08. Nick's check with HSCT on 7/2/08 indicates Tom Callander has the package.
HSCT #HS-91-08-N2-0036 A00000024	Coordinate Air Force Appeal	10/31/2008	Awaiting HS concurrence and signature.
HSCT #HS91-07-N1-0048 A00000025	Appeal of four DOE Documents	12/31/2008	Awaiting HS concurrence and signature. Contacted DoD on 2/24 to get a copy of the document. Awaiting document. Received document on 4/23/08, however, need bracketed and redacted copy, so sent email requesting same on 4/23/08. Fletcher Whitworth has contacted POC Robert Storer of DoD on several occasions, the latest on 7/2/08. Received bracketed copy of document on 08/05/08. Began review of document on 08/06/08. Review complete 08/08/08. Documents given to Donna on 08/08/08 to create concurrence package
HSCT #HS-91-08-N1-0048 A00000029 (TFC-0002)	Appeal of six NSC Documents	12/31/2008	Documents were sent for coordination with CIA and DoD on 08/14/08.

FOIA and Mandatory Appeals**Status as of 8/18/08**

HSCT Number	Document Summary	Date Due	Status
HSCT #HS-91-08-N1-0053 A00000030	Appeal of Strategic Air Command History July-December 1963	12/31/2008	In Review. Est. initial package ready in 3 weeks.
HSCT #HS-91-08-N1-0057 A00000031	Appeal of three DOS Documents	02/18/2009	In Review. Est. initial package ready in 2 weeks.

FOIA and Mandatory Appeals**Status as of 8/25/08**

HSCT Number	Document Summary	Req. Type	Date Due	Status
Due in 7 Days: None				
HSCT #HS-91-08-N1-0019	Coordinate State Department Appeal	FOIA	08/31/2008	TS -Package ready, except for a minor grammar change to letter.
HSCT #HS-91-08-N1-0018	Appeal From NSC	FOIA	08/31/2008	TS -Package ready. Per meeting between Nick and Andy, the document has been forwarded to Tech Guidance for segregation of bracketed information
Other				
HSCT #HS-91-08-N1-0050 A00000017	Appeal of a DOE document	FOIA	12/31/2008	Completing final package prep. Est. ready by 8/20. Sent 7-page excerpt to Office of Weapons Assessments and Development for information on 4/9/2008. Awaiting response. Analysis essentially complete. Received response on 5/27/08. Response incorrect. Karen LaRue returned inquiry concerning information regarding the appeal document. Nick Prospero contacted Dan Gerth on 07/08/08 of LANL concerning issues regarding the document Karen LaRue the POC contacted me on 08/07/08 with response to several questions regarding the document

FOIA and Mandatory Appeals**Status as of 8/25/08**

HSCT Number	Document Summary	Req. Type	Date Due	Status
HSCT #HS91-08-N1-0049 A00000016	Appeal of Original DOE Request	FOIA	12/31/2008	Contacted AF on status of appeal on 3/27/08. Awaiting response. Fletcher Whitworth has contacted POC John Espinal of the AF on several occasions, the latest being on 5/20/08, 7/02/08, and 8/01/08 and received no response. HSCT #HS91-08-N1-0049
HSCT #HS-91-N2-0025 A00000023	Appeal of Seven Documents from Coordinate Review	FOIA	09/20/2008	Awaiting HS concurrence and signature. Meeting with Andy on 3/31/08 to discuss Action. Determined that we needed documentation from Paducah to complete analysis. Fletch Whitworth contacted Paducah on 3/31/08 and we are awaiting results. Fletch tried to reach Pauline Douglas regarding this matter on 5/20/2008. Received an update from Gabe Marciante on 6/5/08. Nick's check with HSCT on 7/2/08 indicates Tom Callander has the package.
HSCT #HS-91-08-N2-0036 A00000024	Coordinate Air Force Appeal	FOIA	10/31/2008	Awaiting HS concurrence and signature.

FOIA and Mandatory Appeals**Status as of 8/25/08**

HSCT Number	Document Summary	Req. Type	Date Due	Status
HSCT #HS91-07-N1-0048 A00000025	Appeal of four DOE Documents	Mand.	12/31/2008	Awaiting HS concurrence and signature. Contacted DoD on 2/24 to get a copy of the document. Awaiting document. Received document on 4/23/08, however, need bracketed and redacted copy, so sent email requesting same on 4/23/08. Fletcher Whitworth has contacted POC Robert Storer of DoD on several occasions, the latest on 7/2/08. Received bracketed copy of document on 08/05/08. Began review of document on 08/06/08. Review complete 08/08/08. Documents given to Donna on 08/08/08 to create concurrence package
HSCT #HS-91-08-N1-0048 A00000029 (TFC-0002)	Appeal of six NSC Documents	FOIA	12/31/2008	Documents were sent for coordination with CIA and DoD on 08/14/08.
HSCT #HS-91-08-N1-0053 A00000030	Appeal of Strategic Air Command History July-December 1963	FOIA	12/31/2008	In Review. Est. initial package ready in 3 weeks.

FOIA and Mandatory Appeals**Status as of 09/02/08**

HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
HSCT #HS-91-08-N1-0019	Coordinate State Department Appeal	08/31/2008	TS -Package ready, except for a minor grammar change to letter.
HSCT #HS-91-08-N1-0018	Appeal From NSC	08/31/2008	TS -Package ready. Per meeting between Nick and Andy, the document has been forwarded to Tech Guidance for segregation of bracketed information
HSCT #HS-91-08-N1-0050 A000000017	Appeal of a DOE document	12/31/2008	Package complete, awaiting Concurrence.
HSCT #HS91-08-N1-0049 A000000016	Appeal of Original DOE Request	12/31/2008	Contact attempted at Eglin AFB on 09/02/08, no voice mail will attempt again daily. Contacted by Penny Jenkins of the Air Force. She faxed correspondence saying the AF is working on the appeal and that it was sent to Eglin Air Force Base. Contacted AF on status of appeal on 3/27/08. Awaiting response. Fletcher Whitworth has contacted POC John Espinal of the AF on several occasions, the latest being on 5/20/08, 7/02/08, and 8/01/08 and received no response. HSCT #HS91-08-N1-0049

FOIA and Mandatory Appeals**Status as of 09/02/08**

HSCT Number	Document Summary	Date Due	Status
HSCT #HS-91-N2-0025 A00000023	Appeal of Seven Documents from Coordinate Review	09/20/2008	Awaiting HS concurrence and signature. Meeting with Andy on 3/31/08 to discuss Action. Determined that we needed documentation from Paducah to complete analysis. Fletch Whitworth contacted Paducah on 3/31/08 and we are awaiting results. Fletch tried to reach Pauline Douglas regarding this matter on 5/20/2008. Received an update from Gabe Marciante on 6/5/08. Nick's check with HSCT on 7/2/08 indicates Tom Callander has the package.
HSCT #HS-91-08-N2-0036 A00000024	Coordinate Air Force Appeal	10/31/2008	Awaiting HS concurrence and signature.
HSCT #HS91-07-N1-0048 A00000025	Appeal of four DOE Documents	12/31/2008	Awaiting HS concurrence and signature. Contacted DoD on 2/24 to get a copy of the document. Awaiting document. Received document on 4/23/08, however, need bracketed and redacted copy, so sent email requesting same on 4/23/08. Fletcher Whitworth has contacted POC Robert Storer of DoD on several occasions, the latest on 7/2/08. Received bracketed copy of document on 08/05/08. Began review of document on 08/06/08. Review complete 08/08/08. Documents given to Donna on 08/08/08 to create concurrence package
HSCT HS91-08-N2-0041 A00000027 (TFC-0001)	Appeal of four DOE Documents	11/28/2008	Documents were sent for coordination with Idaho National Labs; SNL, NM; LANL; LLNL.

FOIA and Mandatory Appeals**Status as of 09/02/08**

HSCT Number	Document Summary	Date Due	Status
HSCT #HS-91-08-N1-0048 A00000029 (TFC-0002)	Appeal of six NSC Documents	12/31/2008	Documents were sent for coordination with CIA and DoD on 08/14/08.
HSCT #HS-91-08-N1-0053 A00000030	Appeal of Strategic Air Command History July-December 1963	12/31/2008	In Review. Contacted Carolyn Price of AF 09/02/08 for status of document. She said it will be a couple days because the person who has to get the document has been on vacation and now must go to the SCIF to retrieve the document. Contacted Carolyn Price of AF to obtain complete document from first review on 8/27/08. Currently we only have the pages that DOE had brackets on.
HSCT #HS-91-08-N1-0057 A00000031	Appeal of three DOS Documents	02/18/2009	Package complete, awaiting Concurrence.

FOIA and Mandatory Appeals**Status as of 09/15/08**

HSCT Number	Document Summary	Date Due	Status
Due in 7 Days:			
HSCT #HS-91-08-N1-0019	Coordinate State Department Appeal	08/31/2008	TS -Package ready, except for a minor grammar change to letter.
HSCT #HS-91-08-N1-0018	Appeal From NSC	08/31/2008	TS -Package ready. Per meeting between Nick and Andy, the document has been forwarded to Tech Guidance for segregation of bracketed information
HSCT #HS-91-08-N1-0050 A00000017	Appeal of a DOE document	12/31/2008	Package complete, awaiting Concurrence.
HSCT #HS91-08-N1-0049 A00000016	Appeal of Original DOE Request	12/31/2008	Contacted Linda O'Keefe, POC at Eglin AFB, on 09/12/08 awaiting return call. Contact attempted at Eglin AFB on 09/02/08, no voice mail will attempt again daily. Contacted by Penny Jenkins of the Air Force. She faxed correspondence saying the AF is working on the appeal and that it was sent to Eglin Air Force Base. Contacted AF on status of appeal on 3/27/08. Awaiting response. Fletcher Whitworth has contacted POC John Espinal of the AF on several occasions, the latest being on 5/20/08, 7/02/08, and 8/01/08 and received no response. HSCT #HS91-08-N1-0049

FOIA and Mandatory Appeals

Status as of 09/15/08

HSCT Number	Document Summary	Date Due	Status
Due in More than 7 Days			
HSCT# HS91-08-N2-0025 A00000023	Appeal of Seven Documents from Coordinate Review	09/30/2008	Awaiting HS concurrence and signature. Meeting with Andy on 3/31/08 to discuss Action. Determined that we needed documentation from Paducah to complete analysis. Fletch Whitworth contacted Paducah on 3/31/08 and we are awaiting results. Fletch tried to reach Pauline Douglas regarding this matter on 5/20/2008. Received an update from Gabe Marciante on 6/5/08. Nick's check with HSCT on 7/2/08 indicates Tom Callander has the package.
HSCT #HS-91-08-N2-0036 A00000024	Coordinate Air Force Appeal	10/31/2008	Awaiting HS concurrence and signature.
HSCT #HS91-07-N1-0048 A00000025	Appeal of four DOE Documents	12/31/2008	Awaiting HS concurrence and signature. Contacted DoD on 2/24 to get a copy of the document. Awaiting document. Received document on 4/23/08, however, need bracketed and redacted copy, so sent email requesting same on 4/23/08. Fletcher Whitworth has contacted POC Robert Storer of DoD on several occasions, the latest on 7/2/08. Received bracketed copy of document on 08/05/08. Began review of document on 08/06/08. Review complete 08/08/08. Documents given to Donna on 08/08/08 to create concurrence package
HSCT HS91-08-N2-0041 A00000027 (TFC-0001)	Appeal of four DOE Documents	11/28/2008	Documents were sent for coordination with Idaho National Labs; SNL ,NM; LANL; LLNL. Contacted Dan Gerth on 09/12/08 for update. Awaiting return call. Contacted Dave Brown on 09/12/08 awaiting return call.

FOIA and Mandatory Appeals**Status as of 09/15/08**

HSCT Number	Document Summary	Date Due	Status
HSCT #HS-91-08-N1-0048 A00000029 (TFC-0002)	Appeal of six NSC Documents	12/31/2008	Documents were sent for coordination with CIA and DoD on 08/14/08.
HSCT #HS-91-08-N1-0053 A00000030	Appeal of Strategic Air Command History July-December 1963	12/31/2008	In Review. Contacted Carolyn Price of AF on 09/12/08. She has not received the document yet. Contacted Carolyn Price of AF 09/02/08 for status of document. She said it will be a couple days because the person who has to get the document has been on vacation and now must go to the SCIF to retrieve the document. Contacted Carolyn Price of AF to obtain complete document from first review on 8/27/08. Currently we only have the pages that DOE had brackets on.
HSCT #HS-91-08-N1-0057 A00000031	Appeal of three DOS Documents	02/18/2009	Package complete, awaiting Concurrence.

FOIA and Mandatory Appeals**Status as of 09/29/08**

HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
HSCT #HS-91-08-N1-0019	Coordinate State Department Appeal	08/31/2008	TS -Package ready, except for a minor grammar change to letter.
HSCT #HS-91-08-N1-0018	Appeal From NSC	08/31/2008	TS -Package ready. Per meeting between Nick and Andy, the document has been forwarded to Tech Guidance for segregation of bracketed information
HSCT #HS-91-08-N1-0050 A00000017	Appeal of a DOE document	12/31/2008	Package complete, awaiting Concurrence.
HSCT #HS91-08-N1-0049 A00000016	Appeal of Original DOE Request	12/31/2008	Contacted Linda O'Keefe, POC at Eglin AFB, on 09/29/09, she stated that she would have something regarding the status of the appeal by 10/03/08. She stated they are having difficulty finding someone with the authority to declassify the AF info in the document. HSCT #HS91-08-N1-0049

FOIA and Mandatory Appeals**Status as of 09/29/08**

HSCT Number	Document Summary	Date Due	Status
HSCT #HS-91-08-N2-0025 A00000023	Appeal of Seven Documents from Coordinate Review	09/20/2008	Awaiting HS concurrence and signature. Meeting with Andy on 3/31/08 to discuss Action. Determined that we needed documentation from Paducah to complete analysis. Fletch Whitworth contacted Paducah on 3/31/08 and we are awaiting results. Fletch tried to reach Pauline Douglas regarding this matter on 5/20/2008. Received an update from Gabe Marciante on 6/5/08. Nick's check with HSCT on 7/2/08 indicates Tom Callander has the package.
HSCT #HS-91-08-N2-0036 A00000024	Coordinate Air Force Appeal	10/31/2008	Concurrence obtained. Package dispatched.
HSCT #HS91-07-N1-0048 A00000025	Appeal of four DOE Documents	12/31/2008	Concurrence obtained. Package dispatched.
HSCT HS91-08-N2-0041 A00000027 (TFC-0001)	Appeal of four DOE Documents	11/28/2008	Received feedback from INL, SNL, and LANL regarding documents. Still awaiting LLNL feedback. Documents were sent for coordination with Idaho National Labs; SNL ,NM; LANL; LLNL. Contacted Dan Gerth on 09/12/08 for update. Awaiting return call. Contacted Dave Brown on 09/12/08 awaiting return call.

FOIA and Mandatory Appeals**Status as of 09/29/08**

HSCT Number	Document Summary	Date Due	Status
HSCT #HS-91-08-N1-0048 A00000029 (TFC-0002)	Appeal of six NSC Documents	12/31/2008	Documents were sent for coordination with CIA and DoD on 08/14/08.
HSCT #HS-91-08-N1-0053 A00000030	Appeal of Strategic Air Command History July-December 1963	12/31/2008	In Review. Contacted Carolyn Price of AF on 09/12/08. She has not received the document yet. Contacted Carolyn Price of AF 09/02/08 for status of document. She said it will be a couple days because the person who has to get the document has been on vacation and now must go to the SCIF to retrieve the document. Contacted Carolyn Price of AF to obtain complete document from first review on 8/27/08. Currently we only have the pages that DOE had brackets on.
HSCT #HS-91-08-N1-0057 A00000031	Appeal of three DOS Documents	02/18/2009	Concurrence obtained. Package dispatched.

FOIA and Mandatory Appeals Status as of 10/06/08			
HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
HSCT #HS-91-08-N1-0019	Coordinate State Department Appeal	08/31/2008	TS -Package ready, except for a minor grammar change to letter.
HSCT #HS-91-08-N1-0018	Appeal From NSC	08/31/2008	TS -Package ready. Per meeting between Nick and Andy, the document has been forwarded to Tech Guidance for segregation of bracketed information
HSCT #HS-91-08-N1-0050 A000000017	Appeal of a DOE document	12/31/2008	Package complete, awaiting Concurrence.
HSCT #HS91-08-N1-0049 A000000016	Appeal of Original DOE Request	12/31/2008	Contacted Linda O'Keefe, POC at Eglin AFB, on 10/06/2008, she provided an estimated completion dated of 10/20/2008. On 09/29/09, she stated that she would have something regarding the status of the appeal by 10/03/08. She stated they are having difficulty finding someone with the authority to declassify the AF info in the document. HSCT #HS91-08-N1-0049

FOIA and Mandatory Appeals

Status as of 10/06/08

HSCT Number	Document Summary	Date Due	Status
HSCT #HS-91-08-N1-0025 A00000023	Appeal of Seven Documents from Coordinate Review	09/20/2008	Received concurrence. Action dispatched.
HSCT #HS-91-08-N2-0036 A00000024	Coordinate Air Force Appeal	10/31/2008	Concurrence obtained. Package dispatched.
HSCT #HS91-07-N1-0048 A00000025	Appeal of four DOE Documents	12/31/2008	Concurrence obtained. Package dispatched.
HSCT HS91-08-N2-0041 A00000027 (TFC-0001)	Appeal of four DOE Documents	11/28/2008	Received feedback from INL, SNL, and LANL regarding documents. Still awaiting LLNL feedback. Documents were sent for coordination with Idaho National Labs; SNL ,NM; LANL; LLNL. Contacted Dan Gerth on 09/12/08 for update. Awaiting return call. Contacted Dave Brown on 09/12/08 awaiting return call.
HSCT #HS-91-08-N2-0048 A00000029 (TFC-0002)	Appeal of six NSC Documents	12/31/2008	Documents were sent for coordination with CIA and DoD on 08/14/08.

FOIA and Mandatory Appeals**Status as of 10/06/08**

HSCT Number	Document Summary	Date Due	Status
HSCT #HS-91-08-N1-0053 A00000030	Appeal of Strategic Air Command History July-December 1963	12/31/2008	In Review. Contacted Carolyn Price of AF on 09/12/08. She has not received the document yet. Contacted Carolyn Price of AF 09/02/08 for status of document. She said it will be a couple days because the person who has to get the document has been on vacation and now must go to the SCIF to retrieve the document. Currently we only have the pages that DOE had brackets on.
HSCT #HS-91-08-N1-0057 A00000031	Appeal of three DOS Documents	02/18/2009	Concurrence obtained. Package dispatched.

FOIA and Mandatory Appeals

Status as of 10/14/08

HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
HSCT #HS-91-08-N1-0019	Coordinate State Department Appeal	08/31/2008	TS -Package ready, except for a minor grammar change to letter.
HSCT #HS-91-08-N1-0018	Appeal From NSC	08/31/2008	TS -Package ready. Per meeting between Nick and Andy, the document has been forwarded to Tech Guidance for segregation of bracketed information
HSCT #HS-91-08-N1-0050 A00000017	Appeal of a DOE document	12/31/2008	Package complete, awaiting Concurrence.
HSCT #HS91-08-N1-0049 A00000016	Appeal of Original DOE Request	12/31/2008	Contacted Linda O'Keefe, POC at Eglin AFB, on 10/06/2008, she provided an estimated completion dated of 10/20/2008. On 09/29/09, she stated that she would have something regarding the status of the appeal by 10/03/08. She stated they are having difficulty finding someone with the authority to declassify the AF info in the document. HSCT #HS91-08-N1-0049
HSCT HS91-08-N2-0041 A00000027 (TFC-0001)	Appeal of four DOE Documents	11/28/2008	Received feedback from INL, SNL, and LANL regarding documents. Still awaiting LLNL feedback. Documents were sent for coordination with Idaho National Labs; SNL, NM; LANL; LLNL. Contacted Dan Gerth on 09/12/08 for update. Awaiting return call. Contacted Dave Brown on 09/12/08 awaiting return call.

FOIA and Mandatory Appeals**Status as of 10/14/08**

HSCT Number	Document Summary	Date Due	Status
HSCT #HS-91-08-N2-0048 A00000029 (TFC-0002)	Appeal of six NSC Documents	12/31/2008	Documents were sent for coordination with CIA and DoD on 08/14/08.
HSCT #HS-91-08-N1-0053 A00000030	Appeal of Strategic Air Command History July-December 1963	12/31/2008	In Review. Contacted Carolyn Price of AF on 09/12/08. She has not received the document yet. Contacted Carolyn Price of AF 09/02/08 for status of document. She said it will be a couple days because the person who has to get the document has been on vacation and now must go to the SCIF to retrieve the document. Currently we only have the pages that DOE had brackets on.

FOIA and Mandatory Appeals**Status as of 10/20/08**

HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
HSCT #HS-91-08-N1-0019	Coordinate State Department Appeal	08/31/2008	TS -Package ready, except for a minor grammar change to letter.
HSCT #HS-91-08-N1-0018	Appeal From NSC	08/31/2008	TS -Package ready. Per meeting between Nick and Andy, the document has been forwarded to Tech Guidance for segregation of bracketed information
HSCT #HS-91-08-N1-0050 A00000017	Appeal of a DOE document	12/31/2008	Package complete, awaiting Concurrence.
HSCT #HS91-08-N1-0049 A00000016	Appeal of Original DOE Request	12/31/2008	Contacted Linda O'Keefe, POC at Eglin AFB, on 10/20/2008 regarding the proposed 10/20 completion date, she stated they are still having difficulty with the review, and that she was going to have another person more familiar with appeal procedures contact me today with an explanation. 10/06/2008, she provided an estimated completion dated of 10/20/2008. On 09/29/09, she stated that she would have something regarding the status of the appeal by 10/03/08. She stated they are having difficulty finding someone with the authority to declassify the AF info in the document. HSCT #HS91-08-N1-0049

FOIA and Mandatory Appeals**Status as of 10/20/08**

HSCT Number	Document Summary	Date Due	Status
HSCT HS91-08-N2-0041 A00000027 (TFC-0001)	Appeal of four DOE Documents	11/28/2008	Received feedback from INL, SNL, and LANL regarding documents. Still awaiting LLNL feedback. Documents were sent for coordination with Idaho National Labs; SNL ,NM; LANL; LLNL. Contacted Dan Gerth on 09/12/08 for update. Awaiting return call. Contacted Dave Brown on 09/12/08 awaiting return call.
HSCT #HS-91-08-N2-0048 A00000029 (TFC-0002)	Appeal of six NSC Documents	12/31/2008	Documents were sent for coordination with CIA and DoD on 08/14/08.
HSCT #HS-91-08-N1-0053 A00000030	Appeal of Strategic Air Command History July-December 1963	12/31/2008	In Review. Contacted Linda Brown on 09/26/08 about the status of her search for the document. Left a message on her voice mail. Awaiting her return call. Contacted Carolyn Price of AF on 09/12/08. She has not received the document yet. Contacted Carolyn Price of AF 09/02/08 for status of document. She said it will be a couple days because the person who has to get the document has been on vacation and now must go to the SCIF to retrieve the document. Currently we only have the pages that DOE had brackets on.

FOIA and Mandatory Appeals**Status as of 11/10/08**

HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
HSCT #HS-91-08-N1-0019	Coordinate State Department Appeal	08/31/2008	TS -Package ready, except for a minor grammar change to letter.
HSCT #HS-91-08-N1-0018	Appeal From NSC	08/31/2008	TS -Package ready. Per meeting between Nick and Andy, the document has been forwarded to Tech Guidance for segregation of bracketed information
HSCT #HS-91-08-N1-0050 A00000017	Appeal of a DOE document	12/31/2008	Package complete, awaiting Concurrence.
HSCT #HS91-08-N1-0049 A00000016	Appeal of Original DOE Request	12/31/2008	Now contacting John Steinbeiss of the AF to facilitate completion of the review. Contacted Linda O'Keefe, POC at Eglin AFB, on 10/20/2008 regarding the proposed 10/20 completion date, she stated they are still having difficulty with the review, and that she was going to have another person more familiar with appeal procedures contact me today with an explanation. 10/06/2008, she provided an estimated completion dated of 10/20/2008. On 09/29/09, she stated that she would have something regarding the status of the appeal by 10/03/08

FOIA and Mandatory Appeals**Status as of 11/10/08**

HSCT Number	Document Summary	Date Due	Status
HSCT HS91-08-N2-0041 A00000027 (TFC-0001)	Appeal of four DOE Documents	11/28/2008	In Review. Received feedback from INL, SNL, LANL, and LLNL regarding documents. Documents were sent for coordination with Idaho National Labs; SNL ,NM; LANL; LLNL. Contacted Dan Gerth on 09/12/08 for update. Awaiting return call. Contacted Dave Brown on 09/12/08 awaiting return call.
HSCT #HS-91-08-N2-0048 A00000029 (TFC-0002)	Appeal of six NSC Documents	12/31/2008	Documents were sent for coordination with CIA and DoD on 08/14/08.
HSCT #HS-91-08-N1-0053 A00000030	Appeal of Strategic Air Command History July-December 1963	12/31/2008	In Review. Contacted Michael Binder at AFDO to see if he could forward the document to us. He found the document and said he would mail the full document to us this week.

FOIA and Mandatory Appeals Status as of 11/24/08			
HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
Other			
HSCT #HS-91-08-N1-0019	Coordinate State Department Appeal	12/31/2008	TS -Package ready
HSCT #HS-91-08-N1-0018	Appeal From NSC	12/31/2008	TS -Package ready. Per meeting between Nick and Andy, the document has been forwarded to Tech Guidance for segregation of bracketed information
HSCT #HS-91-08-N1-0050 A00000017	Appeal of a DOE document	12/31/2008	Package dispatched, action closed.
HSCT #HS91-08-N1-0049 A00000016	Appeal of Original DOE Request	03/31/2009	Now contacting John Steinbeiss of the AF to facilitate completion of the review. Contacted Linda O'Keefe, POC at Eglin AFB, on 10/20/2008 regarding the proposed 10/20 completion date, she stated they are still having difficulty with the review, and that she was going to have another person more familiar with appeal procedures contact me today with an explanation. 10/06/2008, she provided an estimated completion dated of 10/20/2008. On 09/29/09, she stated that she would have something regarding the status of the appeal by 10/03/08

FOIA and Mandatory Appeals**Status as of 11/24/08**

HSCT Number	Document Summary	Date Due	Status
HSCT HS91-08-N2-0041 A00000027 (TFC-0001)	Appeal of four DOE Documents	01/31/2009	In Review. Review to be completed by 11/28. Package ready for conc. by 21/1
HSCT #HS-91-08-N2-0048 A00000029 (TFC-0002)	Appeal of six NSC Documents	03/31/2009	Documents were sent for coordination with CIA and DoD on 08/14/08.
HSCT #HS-91-08-N1-0053 A00000030	Appeal of Strategic Air Command History July-December 1963	12/31/2008	In Review. Received document from AFDO. Contacted Michael Binder at AFDO to see if he could forward the document to us. He found the document and said he would mail the full document to us this week.
HSCT #HS-91-08-N1-0074 A00000034	Appeal of Strategic Air Command History 1975	5/22/2009	Received Appeal from AF on 11/24/08.

FOIA and Mandatory Appeals

Status as of 12/02/08

HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
HSCT #HS-91-08-N1-0019	Coordinate State Department Appeal	12/31/2008	TS -Package ready
HSCT #HS-91-08-N1-0018	Appeal From NSC	12/31/2008	TS -Package ready. Per meeting between Nick and Andy, the document has been forwarded to Tech Guidance for segregation of bracketed information
HSCT #HS91-08-N1-0049 A00000016	Appeal of Original DOE Request	12/31/2008	Now contacting John Steinbeiss of the AF to facilitate completion of the review. Contacted Linda O'Keefe, POC at Eglin AFB, on 10/20/2008 regarding the proposed 10/20 completion date, she stated they are still having difficulty with the review, and that she was going to have another person more familiar with appeal procedures contact me today with an explanation. 10/06/2008, she provided an estimated completion dated of 10/20/2008. On 09/29/09, she stated that she would have something regarding the status of the appeal by 10/03/08
HSCT HS91-08-N2-0041 A00000027 (TFC-0001)	Appeal of four DOE Documents	01/31/2009	In Review. Awaiting redacted version of one document from IG. 11/17/08 attempting to contact LLNL for specific concerns. Received feedback from INL, SNL, LANL, and LLNL regarding documents. Documents were sent for coordination with Idaho National Labs; SNL ,NM; LANL; LLNL. Contacted Dan Gerth on 09/12/08 for update. Awaiting return call. Contacted Dave Brown on 09/12/08 awaiting return call.

FOIA and Mandatory Appeals**Status as of 12/02/08**

HSCT Number	Document Summary	Date Due	Status
HSCT #HS-91-08-N2-0048 A00000029 (TFC-0002)	Appeal of six NSC Documents	12/31/2008	Documents were sent for coordination with CIA and DoD on 08/14/08.
HSCT #HS-91-08-N1-0053 A00000030	Appeal of Strategic Air Command History July-December 1963	12/31/2008	In Review. Received document from AFDO. Contacted Michael Binder at AFDO to see if he could forward the document to us. He found the document and said he would mail the full document to us this week.
HSCT #HS-91-08-N1-0074 A00000034	Appeal of Strategic Air Command History 1975	5/22/2009	Review complete. Awaiting concurrence

FOIA and Mandatory Appeals Status as of 12/08/08			
HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
HSCT #HS-91-08-N1-0019	Coordinate State Department Appeal	12/31/2009	TS -Package ready
HSCT #HS-91-08-N1-0018	Appeal From NSC	12/31/2008	TS -Package ready. Per meeting between Nick and Andy, the document has been forwarded to Tech Guidance for segregation of bracketed information. Requested meeting with Bob Cooke to go over details.
HSCT #HS91-08-N1-0049 A000000016	Appeal of Original DOE Request	03/31/2009	Contacted John Steinbeiss and Michael Binder of the AF to facilitate completion of the review. They have offered to assist. Contacted Linda O'Keefe, POC at Eglin AFB, on 10/20/2008 regarding the proposed 10/20 completion date, she stated they are still having difficulty with the review, and that she was going to have another person more familiar with appeal procedures contact me today with an explanation. 10/06/2008, she provided an estimated completion dated of 10/20/2008. On 09/29/09, she stated that she would have something regarding the status of the appeal by 10/03/08

FOIA and Mandatory Appeals

Status as of 12/08/08

HSCT Number	Document Summary	Date Due	Status
HSCT HS91-08-N2-0041 A00000027 (TFC-0001)	Appeal of four DOE Documents	01/31/2009	In Review. Received input from IG. 11/17/08 attempting to contact LLNL for specific concerns. Received feedback from INL, SNL, LANL, and LLNL regarding documents. Documents were sent for coordination with Idaho National Labs; SNL ,NM; LANL; LLNL. Contacted Dan Gerth on 09/12/08 for update. Awaiting return call. Contacted Dave Brown on 09/12/08 awaiting return call.
HSCT #HS-91-08-N2-0048 A00000029 (TFC-0002)	Appeal of six NSC Documents	3/31/2009	Documents were sent for coordination with CIA and DoD on 08/14/08.
HSCT #HS-91-08-N1-0053 A00000030	Appeal of Strategic Air Command History July-December 1963	12/31/2008	In Review. Received document from AFDO. Contacted Michael Binder at AFDO to see if he could forward the document to us. He found the document and said he would mail the full document to us this week.
HSCT #HS-91-08-N1-0074 A00000034	Appeal of Strategic Air Command History 1975	5/22/2009	Review complete. Awaiting concurrence
HSCT #HS-91-08-N1-0076	NSSM – 27: Korea Program Memorandum	12/31/2009	Review in process.

FOIA and Mandatory Appeals

Status as of 12/15/08

HSCT Number	Document Summary	Date Due	Status
HSCT #HS-91-08-N2-0048 A00000029 (TFC-0002)	Appeal of six NSC Documents	3/31/2009	Documents were sent for coordination with CIA and DoD on 08/14/08.
HSCT #HS-91-08-N1-0053 A00000030	Appeal of Strategic Air Command History July-December 1963	12/31/2008	Review complete. Awaiting concurrence. Received document from AFDO. Contacted Michael Binder at AFDO to see if he could forward the document to us. He found the document and said he would mail the full document to us this week.
HSCT #HS-91-08-N1-0074 A00000034	Appeal of Strategic Air Command History 1975	5/22/2009	Review complete. Awaiting concurrence
HSCT #HS-91-08-N1-0076	NSSM - 27: Korea Program M	12/31/2009	Review in process.

FOIA and Mandatory Appeals**Status as of 01/05/09**

HSCT Number	Document Summary	Date Due	Status
HSCT #HS-91-08-N2-0048 A00000029 (TFC-0002)	Appeal of six NSC Documents	3/31/2009	Documents were sent for coordination with CIA and DoD on 08/14/08.
HSCT #HS-91-08-N1-0053 A00000030	Appeal of Strategic Air Command History July-December 1963	04/30/2009	Review complete. Awaiting concurrence. Received document from AFDO. Contacted Michael Binder at AFDO to see if he could forward the document to us. He found the document and said he would mail the full document to us this week.
HSCT #HS-91-08-N1-0074 A00000034	Appeal of Strategic Air Command History 1975	5/22/2009	Review complete. Awaiting concurrence
HSCT #HS-91-08-N1-0076	Document from DOD	12/31/2009	Review in process.

FOIA and Mandatory Appeals Status as of 01/30/09			
HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
Other			
HSCT #HS91-08-N1-0049 A00000016	Appeal of Original DOE Request	03/31/2009	Document at Eglin AFB for review.
HSCT HS91-08-N2-0041 A00000027 (TFC-0001)	Appeal of four DOE Documents	02/27/2009	Package awaiting HS-90 concurrence.
HSCT #HS-91-08-N2-0048 A00000029 (TFC-0002)	Appeal of six NSC Documents	3/31/2009	Documents coordinated with DoD and CIA. DoD estimated completion 1 st quarter 2009. CIA estimated completion 1 st quarter 2009.
HSCT #HS-91-08-N1-0076 A00000035	Document from DoD	12/31/2009	Review in process. Estimated completion date 02/13/09
HSCT #HS-91-09-N2-0003 A00000036	Nixon Library Document	12/31/2009	TS. Review in process. Estimated completion date 03/13/09.

FOIA and Mandatory Appeals**Status as of 02/18/09**

HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
HSCT #HS91-08-N1-0049 A00000016	Appeal of Original DOE Request	03/31/2009	Document at Edwards AFB for review.
HSCT HS91-08-N2-0041 A00000027 (TFC-0001)	Appeal of four DOE Documents	02/27/2009	HS-90 made changes to package. Package returned to HS-91. Requested changes made. Package being returned to HS-90 for concurrence.
HSCT #HS-91-08-N2-0048 A00000029 (TFC-0002)	Appeal of six NSC Documents	3/31/2009	Documents coordinated with CIA. DoD documents received 02/02/09. CIA estimated completion 1 st quarter 2009.
HSCT #HS-91-08-N1-0076 A00000035	Document from DoD	12/31/2009	Review in process. Estimated completion date 03/13/09
HSCT #HS-91-09-N2-0003 A00000036	Nixon Library Document	12/31/2009	TS. Review in process. Estimated completion date 03/31/09.

FOIA and Mandatory Appeals Status as of 02/18/09			
HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
HSCT #HS91-08-N1-0049 A00000016	Appeal of Original DOE Request	03/31/2009	Document at Edwards AFB for review.
HSCT HS91-08-N2-0041 A00000027 (TFC-0001)	Appeal of four DOE Documents	02/27/2009	HS-90 made changes to package. Package returned to HS-91. Requested changes made. Package being returned to HS-90 for concurrence.
HSCT #HS-91-08-N2-0048 A00000029 (TFC-0002)	Appeal of six NSC Documents	3/31/2009	Documents coordinated with CIA. DoD documents received 02/02/09. CIA estimated completion 1 st quarter 2009.
HSCT #HS-91-08-N1-0076 A00000035	Document from DoD	12/31/2009	Review in process. Estimated completion date 03/13/09
HSCT #HS-91-09-N2-0003 A00000036	Nixon Library Document	12/31/2009	TS. Review in process. Estimated completion date 03/31/09.

FOIA and Mandatory Appeals**Status as of 03/05/09**

HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
Other			
HSCT #HS91-08-N1-0049 A00000016	Appeal of Original DOE Request	03/31/2009	Document at Edwards AFB for review. Document forwarded from Eglin AFB to Edwards AFB on 01/07/09. Contacted John Steinbeiss and Michael Binder on 03/05/09 for POC at Edwards to check status of appeal.
HSCT HS91-08-N2-0041 A00000027 (TFC-0001)	Appeal of four DOE Documents	Closed	Document signed and dispatched on 3/3/09.
HSCT #HS-91-08-N2-0048 A00000029 (TFC-0002)	Appeal of six NSC Documents	3/31/2009	Documents coordinated with CIA on 8/14/08. DoD documents received 02/02/09. CIA estimated completion 1 st quarter 2009.
HSCT #HS-91-08-N1-0076 A00000035	Document from DoD	12/31/2009	Review in process. Estimated completion date 03/31/09
HSCT #HS-91-09-N2-0003 A00000036	Nixon Library Document	12/31/2009	TS. Review in process. Estimated completion date 04/17/09.

FOIA and Mandatory Appeals Status as of 03/20/09			
HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
HSCT #HS91-08-N1-0049 A00000016	Appeal of Original DOE Request	07/31/2009	Document at Edwards AFB for review. Document forwarded from Eglin AFB to Edwards AFB on 01/07/09. . So far we have been unsuccessful in establishing contact at Edwards. Contacted Anh Trinh at AF FOIA Office for assistance.
HSCT HS91-08-N2-0041 A00000027 (TFC-0001)	Appeal of four DOE Documents	Closed	Document signed and dispatched (3/3/09).
HSCT #HS-91-08-N2-0048 A00000029 (TFC-0002)	Appeal of six NSC Documents	07/31/2009	Documents coordinated with CIA on 8/14/08. DoD documents received as of 02/02/09. CIA confirmed on 03/20/2009 that documents were awaiting review, but could not estimate completion date.
HSCT #HS-91-08-N1-0076 A00000035	Document from DoD	12/31/2009	Review in process. Estimated completion date 04/30/09.
HSCT #HS-91-09-N2-0003 A00000036	Nixon Library Document	12/31/2009	TS. Review in process. Estimated completion date 04/17/09.

FOIA and Mandatory Appeals

Status as of 05/04/09

HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
HSCT #HS91-08-N1-0049 A00000016	Appeal of Original DOE Request	07/31/2009	Document at Edwards AFB for review. Document forwarded from Eglin AFB to Edwards AFB on 01/07/09. So far we have been unsuccessful in establishing contact at Edwards. Contacted Anh Trinh at AF FOIA Office for assistance.
HSCT #HS-91-08-N2-0048 A00000029 (TFC-0002)	Appeal of six NSC Documents	07/31/2009	Documents coordinated with CIA on 8/14/08. DoD documents received as of 02/02/09. CIA confirmed on 03/20/2009 that documents were awaiting review, but could not estimate completion date.
HSCT #HS-91-08-N1-0076 A00000035	Document from DoD	12/31/2009	Review in process. Estimated completion date 05/15/09.
HSCT #HS-91-09-N2-0003 A00000036	Nixon Library Document	12/31/2009	TS. Review complete. Package awaiting concurrence by HS-91.
HSCT #HS-91-09-N2-0010 A00000038	OSD Coordinate Mandatory Appeal	12/31/2009	Review in process. Estimated completion date 6/19/09

FOIA and Mandatory Appeals

Status as of 05/29/09

HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
HSCT #HS91-08-N1-0049 A00000016	Appeal of Original DOE Request	07/31/2009	Document at Edwards AFB for review. Document forwarded from Eglin AFB to Edwards AFB on 01/07/09. Sent letter requesting status to Carolyn Price on 05/29/09.
HSCT #HS-91-08-N2-0048 A00000029 (TFC-0002)	Appeal of six NSC Documents	07/31/2009	Documents coordinated with CIA on 8/14/08. DoD documents received as of 02/02/09. CIA confirmed on 05/05/2009 that documents were awaiting review, but could not estimate completion date.
HSCT #HS-91-08-N1-0076 A00000035	Document from DoD	12/31/2009	Review in process. Estimated completion date 06/19/09.
HSCT #HS-91-09-N2-0003 A00000036	Nixon Library Document	12/31/2009	TS. Review complete. HS-1 concurred and signed letter 05/19/09.
HSCT #HS-91-09-N2-0010 A00000038	OSD Coordinate Mandatory Appeal	12/31/2009	Review in process. Estimated completion date 6/30/09

FOIA and Mandatory Appeals**Status as of 06/29/09**

HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
HSCT #HS91-08-N1-0049 A00000016	Appeal of Original DOE Request	07/31/2009	Document at Edwards AFB for review. Document forwarded from Eglin AFB to Edwards AFB on 01/07/09. Sent letter requesting status to Carolyn Price on 05/29/09.
HSCT #HS-91-08-N2-0048 A00000029 (TFC-0002)	Appeal of six NSC Documents	07/31/2009	Documents coordinated with CIA on 8/14/08. DoD documents received as of 02/02/09. CIA confirmed on 05/05/2009 that documents were awaiting review, but could not estimate completion date.
HSCT #HS-91-08-N1-0076 A00000035	Document from DoD	12/31/2009	Review in process. Estimated completion date 07/17/09.
HSCT #HS-91-09-N2-0010 A00000038	OSD Coordinate Mandatory Appeal	12/31/2009	Review in process. Estimated completion date 8/21/09
HSCT #HS-91-09-N2-0020 A00000040	SAC History	12/31/2009	Review in process Estimated completion date 9/18/09

FOIA and Mandatory Appeals

Status as of 06/29/09

HSCT Number	Document Summary	Date Due	Status
HSCT #HS-91-09-N2-0025 A00000042	DIA Document	12/31/2009	Review in process. Estimated completion date 10/16/09

FOIA and Mandatory Appeals Status as of 07/30/09			
HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
HSCT #HS91-08-N1-0049 A00000016	Appeal of Original DOE Request	07/31/2009	In contact with Anh Trinh of the AF regarding this appeal. Latest contact was on 7/30/2009 regarding an estimated completion date. She is on vacation, left a voicemail.
HSCT #HS-91-08-N2-0048 A00000029 (TFC-0002)	Appeal of six NSC Documents	07/31/2009	Documents coordinated with CIA on 8/14/08. DoD documents received as of 02/02/09. CIA confirmed on 05/05/2009 that documents were awaiting review, but could not estimate completion date.
HSCT #HS-91-08-N1-0076 A00000035	Document from DoD	12/31/2009	Review in process. Estimated completion date 09/17/09.
HSCT #HS-91-09-N2-0010 A00000038	OSD Coordinate Mandatory Appeal	12/31/2009	Review in process. Estimated completion date 9/30/09
HSCT #HS-91-09-N2-0020 A00000040	SAC History	12/31/2009	Review complete and concurrence from HS-1 has been obtained. Package dispatched 7/30/2009.

FOIA and Mandatory Appeals

Status as of 07/30/09

HSCT Number	Document Summary	Date Due	Status
HSCT #HS-91-09-N2-0025 A00000042	DIA Document	12/31/2009	Review in process. Estimated completion date 10/16/09

FOIA and Mandatory Appeals**Status as of 09/21/09**

HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
HSCT #HS91-08-N1-0049 A00000016	Appeal of Original DOE Request	12/31/2009	Contacted Anh Trinh on 08/03/09 inquiring about status of document and estimated completion date. She state Eglin AFB has a copy of the document and she sent one to AFDO to review as well. She could not estimate a completion date at that time.
HSCT #HS-91-08-N2-0048 A00000029 (TFC-0002)	Appeal of six NSC Documents	12/31/2009	Documents coordinated with CIA on 8/14/08. DoD documents received as of 02/02/09. CIA confirmed on 05/05/2009 that documents were awaiting review, but could not estimate completion date.
HSCT #HS-91-08-N1-0076 A00000035	Document from DoD	12/31/2009	Review complete. Working on final package. Estimated completion date: 09/30/09.
HSCT #HS-91-09-N2-0010 A00000038	OSD Coordinate Mandatory Appeal	12/31/2009	Review in process. Estimated completion date: 9/17/09
HSCT #HS-91-09-N2-0025 A00000042	DIA Document	12/31/2009	Estimated completion date: 10/16/09

FOIA and Mandatory Appeals**Status as of 09/21/09**

HSCT Number	Document Summary	Date Due	Status
HSCT #HS91-09-N2-0032 A00000043	Foreign Nuclear Program	12/31/2009	Estimated completion date: 10/30/09
HSCT #HS91-09-N2-0033 A00000044	NSA Document	12/31/2009	Document located in SCIF. Awaiting management decision on how to proceed. Estimated completion date: TBD
HSCT #HS91-09-N2-0034 A00000046	Force Structure Analysis	12/31/2009	Estimated completion date: 11/16/09
HSCT #HS91-09-N2-0035 A00000047	Air Force Histories	12/31/2009	Estimated completion date: 12/4/09
HSCT# HS91-09-N2-0035 05SA20D00114-DWC-APPEAL	Appeal of 4 documents	12/31/2009	Package prepared. Awaiting HS-91 review and concurrence. DoD returned these documents to DOE (after completing an appellate review) for direct response to NARA.

FOIA and Mandatory Appeals**Status as of 10/15/09**

HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
HSCT #HS91-08-N1-0049 A00000016	Appeal of Original DOE Request	12/31/2009	Attempted contact again on 10/15/09. Contacted Anh Trinh on 08/03/09 inquiring about status of document and estimated completion date. She state Eglin AFB has a copy of the document and she sent one to AFDO to review as well. She could not estimate a completion date at that time.
HSCT #HS-91-08-N2-0048 A00000029 (TFC-0002)	Appeal of six NSC Documents	12/31/2009	Documents coordinated with CIA on 8/14/08. DoD documents received as of 02/02/09. CIA confirmed on 05/05/2009 that documents were awaiting review, but could not estimate completion date.
HSCT #HS-91-08-N1-0076 A00000035	Document from DoD	12/31/2009	Review complete. Working on final package. Estimated completion date: 10/23/09.
HSCT #HS-91-09-N2-0025 A00000042	DIA Document	12/31/2009	Review complete. Awaiting HS-91 concurrence.
HSCT #HS91-09-N2-0032 A00000043	Foreign Nuclear Program	12/31/2009	Estimated completion date: 10/30/09

FOIA and Mandatory Appeals

Status as of 10/15/09

HSCT Number	Document Summary	Date Due	Status
HSCT #HS91-09-N2-0033 A00000044	NSA Document	12/31/2009	Document located in SCIF. Awaiting management decision on how to proceed. Estimated completion date: TBD
HSCT #HS91-09-N2-0034 A00000046	Force Structure Analysis	12/31/2009	Estimated completion date: 11/16/09
HSCT #HS91-09-N2-0035 A00000047	Air Force Histories	12/31/2009	Estimated completion date: 12/4/09
HSCT# HS91-09-N2-0037 05SA20D00114-DWC-APPEAL	Appeal of 4 documents	12/31/2009	Making changes requested by HS-90. Estimated completion 10/21/09. DoD returned these documents to DOE (after completing an appellate review) for direct response to NARA.
HSCT# HS91-09-N2-0045 A00000049	1973 AEC Document	12/31/2009	Estimated completion date: 12/18/09
HSCT# HS91-09-N2-0046 A00000050	ADM System Report	06/30/2010	Estimated completion date: 01/03/09
HSCT# HS91-09-N2-0047 A00000051	Ford-Schlesinger Memo	06/30/2010	Estimated completion date: 01/17/09

FOIA and Mandatory Appeals**Status as of 10/15/09**

HSCT Number	Document Summary	Date Due	Status
HSCT# HS91-09-N2-0047 A00000052	Odeen-Kissinger Memo	06/30/2010	Estimated completion date: 01/30/09

FOIA and Mandatory Appeals**Status as of 11/23/09**

HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
HSCT #HS91-08-N1-0049 A00000016	Appeal of Original DOE Request	12/31/2009	Spoke with Dienna Collins at Edwards AFB on or about 11/18/09. She is forwarding the document to the Space Applications Technology Center at Eglin AFB for review.
HSCT #HS-91-08-N2-0048 A00000029 (TFC-0002)	Appeal of six NSC Documents	12/31/2009	Documents coordinated with CIA on 8/14/08. DoD documents received as of 02/02/09. CIA confirmed on 05/05/2009 that documents were awaiting review, but could not estimate completion date.
HSCT #HS-91-08-N1-0076 A00000035	Document from DoD	12/31/2009	In concurrence process with HS-91.
HSCT #HS-91-09-N2-0025 A00000042	DIA Document	12/31/2009	Completed. Dispatched 10/29/09.
HSCT #HS91-09-N2-0032 A00000043	Foreign Nuclear Program	12/31/2009	Estimated completion date: 12/15/09

FOIA and Mandatory Appeals

Status as of 11/23/09

HSCT Number	Document Summary	Date Due	Status
HSCT #HS91-09-N2-0033 A00000044	NSA Document	12/31/2009	Document located in SCIF. Awaiting management decision on how to proceed. Estimated completion date: TBD
HSCT #HS91-09-N2-0034 A00000046	Force Structure Analysis	12/31/2009	Transferred to HS-93.
HSCT #HS91-09-N2-0035 A00000047	Air Force Histories	12/31/2009	In concurrence process with HS-91.
HSCT# HS91-09-N2-0037 05SA20D00114-DWC-APPEAL	Appeal of 4 documents	12/31/2009	Making changes requested by HS-90. DoD returned these documents to DOE (after completing an appellate review) for direct response to NARA.
HSCT# HS91-09-N2-0045 A00000049	1973 AEC Document	12/31/2009	TS. Waiting to receive case documents from NARA.
HSCT# HS91-09-N2-0046 A00000050	ADM System Report	06/30/2010	Document located in SCIF. Awaiting management decision on how to proceed. Estimated completion date: TBD
HSCT# HS91-09-N2-0047 A00000051	Ford-Schlesinger Memo	06/30/2010	In process. Estimated completion date: 11/27/09

FOIA and Mandatory Appeals**Status as of 11/23/09**

HSCT Number	Document Summary	Date Due	Status
HSCT# HS91-09-N2-0048 A000000052	Odeen-Kissinger Memo	06/30/2010	Estimated completion date: 12/31/09

FOIA and Mandatory Appeals Status as of 8/18/08			
HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
HSCT #HS-91-08-N1-0019	Coordinate State Department Appeal	08/31/2008	TS -Package ready, except for a minor grammar change to letter.
HSCT #HS-91-08-N1-0018	Appeal From NSC	08/31/2008	TS -Package ready. Per meeting between Nick and Andy, the document has been forwarded to Tech Guidance for segregation of bracketed information
HSCT #HS-91-08-N1-0050 A000000017	Appeal of a DOE document	12/31/2008	Completing final package prep. Est. ready by 8/20. Sent 7-page excerpt to Office of Weapons Assessments and Development for information on 4/9/2008. Awaiting response. Analysis essentially complete. Received response on 5/27/08. Response incorrect. Karen LaRue returned inquiry concerning information regarding the appeal document. Nick Prospero contacted Dan Gerth on 07/08/08 of LANL concerning issues regarding the document Karen LaRue the POC contacted me on 08/07/08 with response to several questions regarding the document
HSCT #HS91-08-N1-0049 A000000016	Appeal of Original DOE Request	12/31/2008	Contacted AF on status of appeal on 3/27/08. Awaiting response. Fletcher Whitworth has contacted POC John Espinal of the AF on several occasions, the latest being on 5/20/08, 7/02/08, and 8/01/08 and received no response. HSCT #HS91-08-N1-0049

FOIA and Mandatory Appeals**Status as of 12/15/08**

HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
HSCT #HS-91-08-N1-0019	Coordinate State Department Appeal	12/31/2009	TS -Package ready
HSCT #HS-91-08-N1-0018	Appeal From NSC	12/31/2008	TS -Package ready. Per meeting between Nick and Andy, the document has been forwarded to Tech Guidance for segregation of bracketed information
HSCT #HS91-08-N1-0049 A000000016	Appeal of Original DOE Request	03/31/2009	Now contacting John Steinbeiss of the AF to facilitate completion of the review. Contacted Linda O'Keefe, POC at Eglin AFB, on 10/20/2008 regarding the proposed 10/20 completion date, she stated they are still having difficulty with the review, and that she was going to have another person more familiar with appeal procedures contact me today with an explanation. 10/06/2008, she provided an estimated completion dated of 10/20/2008. On 09/29/09, she stated that she would have something regarding the status of the appeal by 10/03/08
HSCT HS91-08-N2-0041 A000000027 (TFC-0001)	Appeal of four DOE Documents	01/31/2009	In Review. Received input from IG. 11/17/08 attempting to contact LLNL for specific concerns. Received feedback from INL, SNL, LANL, and LLNL regarding documents. Documents were sent for coordination with Idaho National Labs; SNL ,NM; LANL; LLNL. Contacted Dan Gerth on 09/12/08 for update. Awaiting return call. Contacted Dave Brown on 09/12/08 awaiting return call.

FOIA and Mandatory Appeals**Status as of 01/05/09**

HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
HSCT #HS-91-08-N1-0019	Coordinate State Department Appeal	04/30/2009	TS -Package ready
HSCT #HS-91-08-N1-0018	Appeal From NSC	04/30/2009	TS -Package ready. Met with Bob Cooke, HS-92 to resolve final bracketing questions on 12/24.
HSCT #HS91-08-N1-0049 A000000016	Appeal of Original DOE Request	03/31/2009	Contacted John Steinbeiss of the AF to facilitate completion of the review. According to Steinbeiss, document is being transferred to Edwards AFB for further review. Background: Contacted Linda O'Keefe, POC at Eglin AFB, on 10/20/2008 regarding the proposed 10/20 completion date, she stated they are still having difficulty with the review, and that she was going to have another person more familiar with appeal procedures contact me today with an explanation. 10/06/2008, she provided an estimated completion dated of 10/20/2008. On 09/29/09, she stated that she would have something regarding the status of the appeal by 10/03/08
HSCT HS91-08-N2-0041 A000000027 (TFC-0001)	Appeal of four DOE Documents	01/31/2009	Package ready. In concurrence/signature process. Review complete.

FOIA and Mandatory Appeals Status as of 8/18/08			
HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
HSCT #HS-91-08-N1-0019	Coordinate State Department Appeal	08/31/2008	TS -Package ready, except for a minor grammar change to letter.
HSCT #HS-91-08-N1-0018	Appeal From NSC	08/31/2008	TS -Package ready. Per meeting between Nick and Andy, the document has been forwarded to Tech Guidance for segregation of bracketed information
HSCT #HS-91-08-N1-0050 A000000017	Appeal of a DOE document	12/31/2008	Completing final package prep. Est. ready by 8/20. Sent 7-page excerpt to Office of Weapons Assessments and Development for information on 4/9/2008. Awaiting response. Analysis essentially complete. Received response on 5/27/08. Response incorrect. Karen LaRue returned inquiry concerning information regarding the appeal document. Nick Prospero contacted Dan Gerth on 07/08/08 of LANL concerning issues regarding the document Karen LaRue the POC contacted me on 08/07/08 with response to several questions regarding the document
HSCT #HS91-08-N1-0049 A000000016	Appeal of Original DOE Request	12/31/2008	Contacted AF on status of appeal on 3/27/08. Awaiting response. Fletcher Whitworth has contacted POC John Espinal of the AF on several occasions, the latest being on 5/20/08, 7/02/08, and 8/01/08 and received no response. HSCT #HS91-08-N1-0049

FOIA and Mandatory Appeals

Status as of 12/15/08

HSCT Number	Document Summary	Date Due	Status
Due in 7 Days: None			
HSCT #HS-91-08-N1-0019	Coordinate State Department Appeal	12/31/2009	TS -Package ready
HSCT #HS-91-08-N1-0018	Appeal From NSC	12/31/2008	TS -Package ready. Per meeting between Nick and Andy, the document has been forwarded to Tech Guidance for segregation of bracketed information
HSCT #HS91-08-N1-0049 A00000016	Appeal of Original DOE Request	03/31/2009	Now contacting John Steinbeiss of the AF to facilitate completion of the review. Contacted Linda O'Keefe, POC at Eglin AFB, on 10/20/2008 regarding the proposed 10/20 completion date, she stated they are still having difficulty with the review, and that she was going to have another person more familiar with appeal procedures contact me today with an explanation. 10/06/2008, she provided an estimated completion dated of 10/20/2008. On 09/29/09, she stated that she would have something regarding the status of the appeal by 10/03/08
HSCT HS91-08-N2-0041 A00000027 (TFC-0001)	Appeal of four DOE Documents	01/31/2009	In Review. Received input from IG. 11/17/08 attempting to contact LLNL for specific concerns. Received feedback from INL, SNL, LANL, and LLNL regarding documents. Documents were sent for coordination with Idaho National Labs; SNL ,NM; LANL; LLNL. Contacted Dan Gerth on 09/12/08 for update. Awaiting return call. Contacted Dave Brown on 09/12/08 awaiting return call.

Whitworth, Fletcher

From: Smock, Jeffrey
Sent: Wednesday, October 08, 2008 2:51 PM
To: Puhl, Emily
Cc: Whitworth, Fletcher; McFadden, Scott
Subject: Annual Data for ISOO Report on Classification Management

Below is our Mandatory Review statistics for FY08.

Mandatory Review Appeals

- 1) Number of New Appeals received in FY08: 1
- 2) Number of Appeals carried over into next FY (09): 0
- 3) Appealed pages declassified in full: 1
- 4) Appealed pages declassified in part: 15
- 5) Appealed pages denied in full: 0

Let me know if you need any additional information.

Jeff
301-903-1113

Whitworth, Fletcher

From: Prospero, Nick
Sent: Tuesday, January 27, 2009 10:36 AM
To: Whitworth, Fletcher
Subject: FW: Letter for MDRs
Attachments: MDRFormLetter-SendforResponse-2.doc

Fletch,

Here is the letter that should be used for Mandatory review. The date for them to let us know if they found the document should be within two weeks. Also, the last paragraph should have your contact information.

Nick
3-9967

From: Nelson-Burns, Lesley
Sent: Tuesday, January 27, 2009 10:26 AM
To: Prospero, Nick
Subject: Letter for MDRs

This was the last draft I had. Linda and Paul said they tweaked it further when they were working on the mandatory procedures - so there is probably a newer letter out there.

- Lesley

Lesley Nelson-Burns
Information Security Specialist
Office of Quality Management (HS-91)
Office of Classification
Office of Health, Safety and Security
J-316, 301-903-4861

MEMORANDUM FOR

FROM: ANDREW WESTON-DAWKES
DIRECTOR, OFFICE OF CLASSIFICATION

SUBJECT: Request for Mandatory Declassification Review – [Reference Number of MDR]

Attached is a request for a Mandatory Declassification Review under section 3.5 of Executive Order 12958, as amended, *Classified National Security Information*. The request is being processed in accordance with the provisions of Section 42 (for Restricted Data and Formerly Restricted Data) and Section 52 (for National Security Information) of 10 CFR Part 1045, *Nuclear Classification and Declassification*.

The request is dated [insert date], and was received in the Office of Health, Safety and Security on [insert date]. The request is for the review and release of [insert requested documents]. Please have the appropriate organization conduct a search for the responsive document[s], and notify my office of the results by [insert date] so we may respond to the requestor. If found, review the document[s] for classified and other information that is exempt from public release. If the document is no longer classified, a declassified copy should be forwarded to our office. If the document contains classified or information that is exempt from public release, a copy of the document with the classified and exempt information bracketed should be sent to our office. If Unclassified Controlled Nuclear Information or information that is exempt from release is bracketed, the name of the denying official must be identified.

The Office of Classification will conduct the second classification review, provide the name of the denying official for any National Security Information and Restricted Data and/or Formerly Restricted Data, prepare a sanitized version of the document, and respond to the requestor. We will coordinate the final determination with your office.

Thank you for your assistance. Should you have questions or require additional information regarding this matter, please contact me at (301) 903-3526 or my staff point of contact, Lesley Nelson-Burns at (301) 903-4861.

Attachment

Whitworth, Fletcher

From: Smock, Jeffrey
Sent: Wednesday, October 14, 2009 1:45 PM
To: Whitworth, Fletcher
Cc: McFadden, Scott
Subject: RE: Annual Data for ISOO Report on Classification Management

Fletch,

Below is the annual data for the ISOO report:

- 1) New appelas received in FY 09: 4
- 2) Number of appeals carried over into the next FY: 1

Expressed in pages

- 3) Appealed pages declassified in full: 1
- 4) Appealed pages declassified in part: 6
- 5) Appealed pages denied in full: 0

If you need anymore information let me know.

Jeff
3-1113

From: Whitworth, Fletcher
Sent: Tuesday, October 13, 2009 10:39 AM
To: McFadden, Scott; Smock, Jeffrey
Subject: FW: Annual Data for ISOO Report on Classification Management
Importance: High

This looks like something you guys keep up with. . . .

Enjoy,
F

From: Puhl, Emily
Sent: Tuesday, October 13, 2009 8:44 AM
To: Whitworth, Fletcher
Subject: Annual Data for ISOO Report on Classification Management
Importance: High

Fletch,

Once again it's time to compile the DOE's classification/declassification program statistical data into the "Agency Security Classification Management Program Data," report (the ISOO Report). The reporting period is from 10/1/2008 to 9/30/2009.

Statistics needed from HS-91 on **Mandatory Review Appeals** are as follows:

- 1) Number of new appeals received in FY 09 _____
- 2) Number of appeals carried over into the next FY (10) _____

Expressed in **pages**:

- 3) Appealed pages declassified in full: _____
- 4) Appealed pages declassified in part (i.e., sanitized/redacted): _____
- 5) Appealed pages denied: _____

FYI - Here is last year's data:

New appeals received during FY 08: 1
Appeals carried over to next reporting period: 0
Appealed pages declassified in full: 1 page
Appealed pages declassified in part: 15 pages
Appealed pages denied in full: 0 pages

Please provide the data to me by COB Friday, October 23, 2009. If you have any questions, please call me. Thanks!

Sincerely,

Emily A. Puhl
Security Specialist
Office of Quality Management
Office of Classification
301/903-9048

Nelson-Burns, Lesley

From: Prospero, Nick
Sent: Monday, January 14, 2008 11:38 AM
To: Puhl, Emily; Nelson-Burns, Lesley
Subject: Mandatory Review Procedures

Here are the steps that I think should be included in procedures. Let's discuss this sometime this week so that we can get a better outline of the procedures and start developing them.

- We receive the mandatory review request and assign a case number.
- We respond to the requestor notifying him that we have received the request.
- We identify the appropriate organizations and request that they conduct a search for the document.
- They conduct the first classification review and the UCI review and provide the us the name of the denying officials for the UCI.
- We conduct the second mandatory review
- We confirm that the identified classified information warrants continued protection and declassification isn't warranted at this time.
- We redact the documents and respond to the requestor citing the Director HS-90 as the denying official for classified and the person provided by the organization as the denying official for all CUI.

Nick
3-9967

Nelson-Burns, Lesley

From: Nelson-Burns, Lesley
Sent: Monday, August 25, 2008 1:57 PM
To: Morris, Alexander
Subject: FOIA fees

You were kind enough to help me with an NRC issue a while back, so I'm hoping you can help me with this as well - or refer me to someone who can!

Our office took over the processing of requests for mandatory declassification review of documents under EO 12958. We are establishing the in-house procedures for these requests. We would like our fees to be in line with what the FOIA office would charge. When fees are collected from the requester, can you tell me how they are determined?

Thanks very much!

Lesley

Lesley Nelson-Burns
Information Security Specialist
Office of Quality Management (HS-91)
Office of Classification
Office of Health, Safety and Security
J-316, 301-903-4861

Mandatory Declassification Review Request Procedures

August 27, 2008

1. Members of the public may request declassification review of certain information classified under Executive Order 12958, as amended, *Classified National Security Information*, and its predecessor orders. Such requests are processed under 10 CFR Part 1045, *Nuclear Classification and Declassification*; specifically sections 42 (for Restricted Data and Formerly Restricted Data) and 52 (for National Security Information).
2. Mandatory Declassification Review (MDRs) requests are addressed to the

Office of Classification
19901 Germantown Road
Germantown, MD 20874-1290
3. All MDR requests are forwarded to the Office of Quality Management (HS-91) for coordination with Headquarters and field elements.
4. Requests must be of sufficient specificity to allow agency personnel to locate the records containing the information sought with a reasonable amount of effort. If a request does not reasonably describe the information, HS-91 notifies the requester that unless additional information is provided or the scope of the request is narrowed, no further action will be taken.
5. If DOE has reviewed the document(s) within the past 2 years, the request may not be processed.
6. If the document(s) requested is subject to litigation, the processing of the request may be delayed pending completion of the litigation. In such cases, HS-91 will inform the requester of the fact and of the requester's appeal rights.
7. DOE may charge fees for search, review, and duplicating costs in connection with an MDR request. If charged, these fees are in accordance with section 9701 of title 31, United States Code.
8. DOE may refuse to confirm or deny the existence or nonexistence of the requested information whenever the fact of its existence or nonexistence is itself classified as RD or FRD.
9. HS-91:
 - a. Assigns a case number and enters the request into the MDR request database.
 - b. Ensures the action is entered into the Office of Health, Safety and Security Correspondence Tracking system (HSCT).

- c. Identifies the responsive organizations
 - (1) If the responsive organizations are within NNSA, the request is sent to NA-71.
 - (2) For DOE organizations, the request is sent to the responsive program and staff/support offices.
- d. Within two weeks, notifies the requester in writing that the request has been received.
- e. Within two weeks, sends a letter to the responsive organizations requesting a search for responsive documents and a return receipt. The package sent must include:
 - (1) A memorandum requesting review and response.
 - (2) A copy of the MDR request.
- 10. Concurrences for the package requesting response and notifying the requestor are tracked manually, not in HSCT.
- 11. Within 30 days following dispatch of the letter, HS-91 enters the status of the action in HSCT.
- 12. Within 30 days following dispatch of the letter, HS-91 notifies the requester of the status of the search.
- 13. Each responsive organization conducts the first review for classified and controlled information.
 - a. The responsive organization brackets the classified information.
 - b. If there is unclassified information that may be exempt from release under the Freedom of Information Act [Unclassified Controlled Nuclear Information (UCNI), unclassified Naval Nuclear Propulsion Information (U-NNPI), and Official Use Only (OUO) information], the responsive office must identify the exempt information, reasons for denial and the denying official.

Note: OUO is not a basis for exemption. Information marked OUO is not automatically exempt from public release. OUO information is information that may be exempt. Documents marked OUO do not identify the specific information which may be exempt. Therefore, further analysis must be made of any OUO document to ascertain if information contained in the document is, in fact, exempt from public release. The basis to withhold information found to be exempt is not OUO, but the FOIA exemption the information falls under.

- c. When reviews and documentation of the determinations concerning classified and controlled information are complete, the responsive organization returns the package to HS-91.
- 14. HS-91 ensures that the response has been entered into the Classified Action Tracking System and a case number is provided.
- 15. HS-91 sends the package to the Office of Document Reviews (HS-93) for the second review and enters the status of the package in HSCT.
- 16. HS-93:
 - a. Confirms that the identified classified information warrants continued protection and declassification is not warranted.
 - b. Redacts the document and returns the package to HS-91.
- 17. HS-91 sends the package to the General Counsel to confirm any unclassified information marked as exempt under the Freedom of Information Act is exempt and enters the status of the package in HSCT.
- 18. Upon return of the document from General Counsel, HS-91 drafts the response to the requestor. If the request is denied in whole or in part, the letter:
 - a. Cites the Director, Office of Classification, as the denying official for classified information and cites the person provided as the denying official for other information exempt from release under the FOIA.
 - b. Informs the requester of the right to appeal the classification determination within 60 calendar days of the receipt of the classification determination.
 - c. Advises the requester of the name and address of the DOE official responsible for deciding an appeal
- 19. The final response to the requester is prepared and submitted for electronic concurrence through HSCT.

Mandatory Declassification Review Appeal Procedures

(Date)

1. Mandatory Declassification Review (MDR) appeals are submitted to the Office of Classification, Office of Quality Management (HS-91). HS-91 provides administrative support for processing appeals with the appropriate DOE organizations.
2. When a request for review of NSI has been denied, the requester may, within 30 days of receiving the denial, appeal the determination to the appeal authority.
3. The appeal authority for MDR appeals is

Michael Kilpatrick, Deputy Chief for Operations
Office of Health, Safety and Security
9901 Germantown Road
Germantown, MD 20874-1290
4. If the document subject to appeal has been reviewed within the past 2 years, the request may not be processed.
5. If the document subject to appeal is the subject of pending litigation, the processing of the request may be delayed pending completion of the litigation. In such cases, HS-91 will inform the requester of this fact and of the requester's appeal rights.
6. The appeal authority makes a determination within 60 calendar days; however, if a determination is not made within 60 calendar days the appeal authority must explain to the requester the reason for the delay and provide a date when a determination is expected to be issued.
7. Appeals received through CATS are given a case number and forwarded to the HS-91 who enters the information into HSCT.
8. Appeals sent directly to HS-91 are taken to CATS for logging into the system and entered into HSCT.
9. HS-91 notifies the appellant of receipt of the appeal.
10. After the information is recorded, the appeal is submitted to document reviewers in HS-91.
11. If the appeal is not acted upon within 60 working day of its receipt, the requester may consider his or her administrative remedies exhausted and seek a review of the National Security Information contained in the document by the Interagency Security Classification Appeals Panel (ISCAP). When no determination can be

issued within the time limit, the appeal shall continue to be process. On expiration of the time limit, the requester will be informed of

- a. the reason for the delay
 - b. the date on which a determination may be expected, and
 - c. his or her right to seek further review by the ISCAP
 - d. The requestor may agree to an extension of time for the decision on an appeal. If agreed, any such agreement shall be confirmed in writing and specify the total time agreed upon for the appeal decision.
12. When the appeal is complete, HS-91 prepares correspondence to the requester for the signature of the appeal authority with DOE's determination and, if applicable, the reasons for any whole or partial denial of the appeal.
- a. If the appeal concerns documents containing of National Security Information, the correspondence must also inform the requester of his or her right to seek further review by the ISCAP.
 - b. In cases were NSI documents also contain RD or FRD, the RD or FRD information shall be deleted prior to forwarding the NSI and unclassified portions to the ISCAP for review.

Mandatory Declassification Review Request Procedures

August 28, 2008

1. Members of the public may request declassification review of certain information classified under Executive Order 12958, as amended, *Classified National Security Information*, and its predecessor orders. Such requests are processed under 10 CFR Part 1045, *Nuclear Classification and Declassification*; specifically sections 42 (for Restricted Data and Formerly Restricted Data) and 52 (for National Security Information).
2. Mandatory Declassification Review (MDRs) requests are addressed to the

Office of Classification
19901 Germantown Road
Germantown, MD 20874-1290
3. All MDR requests are forwarded to the Office of Quality Management (HS-91) for coordination with Headquarters and field elements.
4. Requests must be of sufficient specificity to allow agency personnel to locate the records containing the information sought with a reasonable amount of effort. If a request does not reasonably describe the information, HS-91 notifies the requester that unless additional information is provided or the scope of the request is narrowed, no further action will be taken.
5. If DOE has reviewed the document(s) within the past 2 years, the request may not be processed.
6. If the document(s) requested is subject to litigation, the processing of the request may be delayed pending completion of the litigation. In such cases, HS-91 will inform the requester of the fact and of the requester's appeal rights.
7. DOE may charge fees for search, review, and duplicating costs in connection with an MDR request. If charged, these fees are in accordance with section 9701 of title 31, United States Code.
8. DOE may refuse to confirm or deny the existence or nonexistence of the requested information whenever the fact of its existence or nonexistence is itself classified as RD or FRD.
9. HS-91:
 - a. Assigns a case number and enters the request into the MDR request database.
 - b. Ensures the action is entered into the Office of Health, Safety and Security Correspondence Tracking system (HSCT).

- c. Identifies the responsive organizations
 - (1) If the responsive organizations are within NNSA, the request is sent to NA-71.
 - (2) For DOE organizations, the request is sent to the responsive program and staff/support offices.
- d. Within two weeks, notifies the requester in writing that the request has been received.
- e. Within two weeks, sends a letter to the responsive organizations requesting a search for responsive documents and a return receipt. The package sent must include:
 - (1) A memorandum requesting review and response.
 - (2) A copy of the MDR request.
- 10. Concurrences for the package requesting response and notifying the requestor are tracked manually, not in HSCT.
- 11. Within 30 days following dispatch of the letter, HS-91 enters the status of the action in HSCT.
- 12. Within 30 days following dispatch of the letter, HS-91 notifies the requester of the status of the search.
- 13. Each responsive organization conducts the first review for classified and controlled information.
 - a. The responsive organization brackets the classified information.
 - b. If there is unclassified information that may be exempt from release under the Freedom of Information Act [Unclassified Controlled Nuclear Information (UCNI), unclassified Naval Nuclear Propulsion Information (U-NNPI), and Official Use Only (OUO) information], which is determined to be exempt from public release, the responsive office must identify the exempt information, reasons for denial and the denying official.

Note: OUO is not a basis for exemption. Information marked OUO is not automatically exempt from public release. OUO information is information that may be exempt. Therefore, further analysis must be made of any OUO information to ascertain if information contained in the document is, in fact, exempt from public release. The basis to withhold information found to be exempt is not OUO, but the FOIA exemption the information falls under.

Mandatory Declassification Review Appeal Procedures

(Date)

1. Mandatory Declassification Review (MDR) appeals are submitted to the Office of Classification, Office of Quality Management (HS-91). HS-91 provides administrative support for processing appeals with the appropriate DOE organizations.
2. When a request for review of NSI has been denied, the requester may, within 30 days of receiving the denial, appeal the determination to the appeal authority.
3. The appeal authority for MDR appeals is

Michael Kilpatrick, Deputy Chief for Operations
Office of Health, Safety and Security
9901 Germantown Road
Germantown, MD 20874-1290
4. If the document subject to appeal has been reviewed within the past 2 years, the request may not be processed.
5. If the document subject to appeal is the subject of pending litigation, the processing of the request may be delayed pending completion of the litigation. In such cases, HS-91 will inform the requester of this fact and of the requester's appeal rights.
6. The appeal authority makes a determination within 60 calendar days; however, if a determination is not made within 60 calendar days the appeal authority must explain to the requester the reason for the delay and provide a date when a determination is expected to be issued.
7. Appeals received through CATS are given a case number and forwarded to the HS-91 who enters the information into HSCT.
8. Appeals sent directly to HS-91 are taken to CATS for logging into the system and entered into HSCT.
9. HS-91 notifies the appellant of receipt of the appeal.
10. After the information is recorded, the appeal is submitted to document reviewers in HS-91.
11. If the appeal is not acted upon within 60 working day of its receipt, the requester may consider his or her administrative remedies exhausted and seek a review of the National Security Information contained in the document by the Interagency Security Classification Appeals Panel (ISCAP). When no determination can be

- c. When reviews and documentation of the determinations concerning classified and controlled information are complete, the responsive organization returns the package to HS-91.
- 14. HS-91 ensures that the response has been entered into the Classified Action Tracking System and a case number is provided.
- 15. HS-91 sends the package to the Office of Document Reviews (HS-93) for the second review and enters the status of the package in HSCT.
- 16. HS-93:
 - a. Confirms that the identified classified information warrants continued protection and declassification is not warranted.
 - b. Redacts the document and returns the package to HS-91.
- 17. HS-91 sends the package to the General Counsel to confirm any unclassified information marked as exempt under the Freedom of Information Act is exempt and enters the status of the package in HSCT.
- 18. Upon return of the document from General Counsel, HS-91 drafts the response to the requestor. If the request is denied in whole or in part, the letter:
 - a. Cites the Director, Office of Classification, as the denying official for classified information and cites the person provided as the denying official for other information exempt from release under the FOIA.
 - b. Informs the requester of the right to appeal the classification determination within 60 calendar days of the receipt of the classification determination.
 - c. Advises the requester of the name and address of the DOE official responsible for deciding an appeal
- 19. The final response to the requester is prepared and submitted for electronic concurrence through HSCT.

issued within the time limit, the appeal shall continue to be process. On expiration of the time limit, the requester will be informed of

- a. the reason for the delay
 - b. the date on which a determination may be expected, and
 - c. his or her right to seek further review by the ISCAP
 - d. The requestor may agree to an extension of time for the decision on an appeal. If agreed, any such agreement shall be confirmed in writing and specify the total time agreed upon for the appeal decision.
12. When the appeal is complete, HS-91 prepares correspondence to the requester for the signature of the appeal authority with DOE's determination and, if applicable, the reasons for any whole or partial denial of the appeal.
- a. If the appeal concerns documents containing of National Security Information, the correspondence must also inform the requester of his or her right to seek further review by the ISCAP.
 - b. In cases were NSI documents also contain RD or FRD, the RD or FRD information shall be deleted prior to forwarding the NSI and unclassified portions to the ISCAP for review.

Nelson-Burns, Lesley

From: Nelson-Burns, Lesley
Sent: Thursday, October 02, 2008 7:07 AM
To: Prospero, Nick
Subject: MDR Procedures
Attachments: Mandatory Review Procedures-Rev6.doc

I brought your comments home to incorporate, so you won't have those to compare with! I am normally pretty good at deciphering your notes (of course the only reason I can't has to do with my eyesight rather than the quality of your writing sir!) - but there were some notes I could not make out.

The notes I could not make out were on page 2, numbers 10, 11 and 12. I did the best I could... Must need new glasses!

There are a couple of issues:

Page 1 - number 7

concerns fees. According to the FOIA office, the OMB allows "credible and uniform fees." The information in this paragraph duplicates the FOIA office procedures (except for the fact they said they send the bill to "Accounting" and I found no such specific office, so I used the CFO instead). The FOIA office said that each department that works on the FOIA keeps a record of time during the review/search process and they charge 5 cents per page for copying.

If we are going to do this, we should add a paragraph in our letter for each program to keep track of the time spent on search and review.

Mandatory reviews aren't like FOIAs with different fee structures - you can charge everyone.

Page 2 - number 10 and 11

This deals with the HSCT processes. We've talked about this a couple of times and I'm not sure what we resolved (or if we did!) I have that we will not track the correspondence in HSCT - but I really don't like that. The Wen Ho Lee stuff has two tracking numbers now because Donna created a new one for the letters to IN and IG (as I forgot to tell her otherwise). However, that turned out to be a good thing because if she hadn't, I might not know that Andy received the packages on 9/22.

So here is the latest draft.

I've been working a couple of hours so I'm going to go out for a quick breakfast. I'll call you about the CommuniQue when I get back!

- Lesley

Mandatory Declassification Review Request Procedures

October 2, 2008

1. Members of the public may request declassification review of certain information classified under Executive Order 12958, as amended, *Classified National Security Information*, and its predecessor orders. Such requests are processed under 10 CFR Part 1045, *Nuclear Classification and Declassification*; specifically sections 42 (for Restricted Data and Formerly Restricted Data) and 52 (for National Security Information).
2. Mandatory Declassification Review (MDRs) requests are addressed to the

Office of Classification
19901 Germantown Road
Germantown, MD 20874-1290
3. All MDR requests are forwarded to the Office of Quality Management (HS-91) for coordination with Headquarters and field elements.
4. Requests must be of sufficient specificity to allow agency personnel to locate the records containing the information sought with a reasonable amount of effort. If a request does not reasonably describe the information, HS-91 notifies the requester that unless additional information is provided or the scope of the request is narrowed, no further action will be taken.
5. If DOE has reviewed the document(s) within the past 2 years, the request may not be processed. This determination is made by the Director, Office of Classification.
6. If the document(s) requested is subject to litigation, the processing of the request may be delayed pending completion of the litigation. In such cases, HS-91 will inform the requester of the fact and of the requester's appeal rights.
7. DOE may charge fees for search, review, and duplicating costs in connection with an MDR request. If charged, these fees are in accordance with section 9701 of title 31, United States Code. If the requestor is billed, HS-91 will send the pertinent information to the appropriate office within the Office of the Chief Financial Officer. The bill will be sent by them via separate correspondence.
8. DOE may refuse to confirm or deny the existence or nonexistence of the requested information whenever the fact of its existence or nonexistence is itself classified as RD or FRD.
9. Upon receipt of an MDR, HS-91:
 - a. Assigns a case number and enters the request into the MDR request database.

- b. Ensures the action is entered into the Office of Health, Safety and Security Correspondence Tracking system (HSCT).
 - c. Identifies the responsive organizations
 - (1) If the responsive organizations are within NNSA, the request is sent to NA-71.
 - (2) For DOE organizations, the request is sent to the responsive program and staff/support offices.
 - d. Notifies the requester in writing within two weeks that the request has been received.
 - e. Sends a letter to the responsive organizations within two weeks requesting a search for responsive documents and a return receipt. The package sent should include:
 - (1) A memorandum requesting review and response.
 - (2) A copy of the MDR request.
 - (3) A suspense date.
10. Concurrences for the package requesting response and notifying the requestor are tracked manually, not in HSCT.
11. 30 days following dispatch of the letter, HS-91 checks on the and follows up every two weeks thereafter until the location of the documents is determined.
12. 60 days following dispatch of the letter, HS-91 notifies the requester of the status of the search.
13. Each responsive organization conducts the first review for classified and controlled information.
- a. The responsive organization brackets the classified information.
 - b. If there is unclassified information that may be exempt from release under the Freedom of Information Act [e.g., Unclassified Controlled Nuclear Information (UCNI), unclassified Naval Nuclear Propulsion Information (U-NNPI), and Official Use Only (OUO) information], which is determined to be exempt from public release, the responsive office must identify the exempt information, reasons for denial and the denying official.

Note: Information marked OUO is not automatically exempt from public release. Information identified as OUO may be exempt. Therefore,

further analysis must be made of any OOU information to ascertain if information contained in the document is, in fact, exempt from public release. The basis to withhold information found to be exempt is not OOU, but the FOIA. Withholding such information is per section 6.2c of Executive Order 12958, as amended.

- c. When reviews and documentation of the determinations concerning classified and controlled information are complete, the responsive organization returns the package to HS-91.
- 14. HS-91 ensures that the response has been entered into the Classified Action Tracking System and a case number is provided.
 - 15. HS-91 sends the package to the Office of Document Reviews (HS-93) for the second review and enters the status of the package in HSCT.
 - 16. HS-93:
 - a. Confirms that the identified classified information warrants continued protection and declassification is not warranted.
 - b. Redacts the document and returns the package to HS-91.
 - 17. HS-91 sends the package to the General Counsel to confirm any unclassified information marked as exempt from public release is exempt under the Freedom of Information Act and enters the status of the package in HSCT.
 - 18. Upon return of the document from General Counsel, HS-91 drafts the response to the requestor. If the request is denied in whole or in part, the letter:
 - a. Cites the Director, Office of Classification, as the denying official for classified information and cites the person provided as the denying official for other information exempt from release under the FOIA.
 - b. Informs the requester of the right to appeal the classification determination within 60 calendar days of the receipt of the classification determination.
 - c. Advises the requester of the name and address of the DOE official responsible for deciding an appeal
 - 19. The final response to the requester is prepared and submitted for electronic concurrence through HSCT.

Mandatory Declassification Review Appeal Procedures

(Date)

1. Mandatory Declassification Review (MDR) appeals are submitted to the Office of Classification, Office of Quality Management (HS-91). HS-91 provides administrative support for processing appeals with the appropriate DOE organizations.
2. When a request for review of National Security Information (NSI) has been denied, the requester may, within 30 days of receiving the denial, appeal the determination to the appeal authority.
3. The appeal authority for MDR appeals is

Michael Kilpatrick, Deputy Chief for Operations
Office of Health, Safety and Security
9901 Germantown Road
Germantown, MD 20874-1290
4. If the document subject to appeal has been reviewed within the past 2 years, the request may not be processed. This determination is made by the Director, Office of Classification.
5. If the document subject to appeal is the subject of pending litigation, the processing of the request may be delayed pending completion of the litigation. In such cases, HS-91 will inform the requester of this fact and of the requester's appeal rights.
6. The appeal authority makes a determination within 60 calendar days; however, if a determination is not made within 60 calendar days the appeal authority must explain to the requester the reason for the delay and provide a date when a determination is expected to be issued.
7. Appeals received through CATS are given a case number and forwarded to the HS-91 who enters the information into HSCT.
8. Appeals sent directly to HS-91 are taken to CATS for logging into the system and entered into HSCT.
9. HS-91 notifies the appellant of receipt of the appeal within two weeks.
10. After the information is recorded, the appeal is reviewed by HS-91.
11. If the appeal is not acted upon within 60 working day of its receipt, the requester may consider his or her administrative remedies exhausted and seek a review of the National Security Information contained in the document by the Interagency Security Classification Appeals Panel (ISCAP). When no determination can be

issued within the time limit, the appeal shall continue to be process. On expiration of the time limit, the requester will be informed of

- a. the reason for the delay
- b. the date on which a determination may be expected, and
- c. his or her right to seek further review by the ISCAP
- d. The requestor may agree to an extension of time for the decision on an appeal. If agreed, any such agreement shall be confirmed in writing and specify the total time agreed upon for the appeal decision.

12. When the appeal is complete, HS-91 prepares correspondence to the requester for the signature of the appeal authority with DOE's determination and, if applicable, the reasons for any whole or partial denial of the appeal.

- a. If the appeal concerns documents containing of National Security Information, the correspondence must also inform the requester of his or her right to seek further review by the ISCAP.
- b. In cases were NSI documents also contain RD or FRD, the RD or FRD information shall be deleted prior to forwarding the NSI and unclassified portions to the ISCAP for review.

Nelson-Burns, Lesley

From: Nelson-Burns, Lesley
Sent: Thursday, October 02, 2008 12:11 PM
To: Prospero, Nick
Subject: Mandatory Review Procedures

I thought I had everything, but I went over it again and I can't quite make out the note at the end of 12 (page 2).

60 days following the dispatch of the letter, HS-91 notifies the requestor of the status of the search (note to add something??)

Also in 9e we have to include the request for a return receipt in the letter to responsive organizations. We don't do that. Should we take it out or change the letter?

- Lesley

Nelson-Burns, Lesley

From: Prospero, Nick
Sent: Thursday, October 02, 2008 12:48 PM
To: Nelson-Burns, Lesley
Subject: RE: Mandatory Review Procedures

See below.

Nick
3-9967

-----Original Message-----

From: Nelson-Burns, Lesley
Sent: Thursday, October 02, 2008 12:11 PM
To: Prospero, Nick
Subject: Mandatory Review Procedures

I thought I had everything, but I went over it again and I can't quite make out the note at the end of 12 (page 2).

60 days following the dispatch of the letter, HS-91 notifies the requestor of the status of the search (note to add something??)

I can't make it out either. It can't be too important.

Also in 9e we have to include the request for a return receipt in the letter to responsive organizations. We don't do that. Should we take it out or change the letter?

Take it out.

- Lesley

Mandatory Declassification Review Request Procedures

April 10, 2008

1. **Members of the public may request declassification review of certain information classified under Executive Order 12958, as amended, *Classified National Security Information*, and its predecessor orders. Mandatory Declassification Request Reviews (MDRs) are addressed to the**

**Office of Classification,
19901 Germantown Road
Germantown, MD 20874-1290**

2. **All MDRs are forwarded to the Office of Quality Management for coordination with Headquarters and Field elements.**
3. **Requests must be of sufficient specificity to allow agency personnel to locate the records containing the information sought with a reasonable amount of effort. If a request does not reasonably describe the information, the requestor will be notified that unless additional information is provided or the scope of the request is narrowed, no further action will be undertaken.**
4. **The DOE may charge fees for search, review, and duplicating costs in connection with a mandatory declassification review request.**
5. **Upon receipt the MDR Request Coordinator**
 - a. *Assigns a case number and logs the request in the MDR database*
 - b. *Ensures the action is entered into the Office of Health, Safety and Security Correspondence Tracking system (HSCT)*
 - c. *Notifies the requestor in writing that the request has been received (example of draft letter).*
 - d. *Identifies the responsive organizations*
 - i. **If the responsive organization is within NNSA, the request is sent to NA-71.**
 - ii. **For DOE organizations, the request is sent to the S-1.**
 - e. *Drafts a letter to the responsive organizations requesting a search for responsive documents and a return receipt. (example of draft letter). The package must include:*

- i. A memo requesting review and response
 - ii. A copy of the MDR Request
 - iii. A copy of these procedures
- f. *The Administrative Assistant prepares the package for concurrence and enters the information in HSCT.*
- g. *Upon concurrence, the letter is sent to the responsive organization.*
- 6. The responsive program office(s) conducts the first review for classified and controlled information.
 - a. *The program office brackets the classified information*
 - b. *If there is unclassified information that may be exempt from release under the Freedom of Information Act (Unclassified Controlled Nuclear Information (UCNI), Unclassified Naval Nuclear Propulsion Information, or is otherwise be exempt from release under the FOIA, the program office must identify the reason(s) for denial and the denying official.*
 - c. *When reviews and documentation of the determinations concerning classified and controlled information are complete, the program office returns the responsive document package to the Office of Quality Management.*
 - d. *CATS?*
- 7. The Office of Quality Management sends the package to the Office of Document Reviews for the second review (example of draft transmittal).
 - a. *The Office of Document Reviews*
 - i. Confirms that identified classified information warrants continued protection and declassification is not warranted.
 - ii. Redacts the document and forwards the package to HS-91.
- 8. HS-91 responds to the requestor (example of draft letter).
 - a. If the request is denied in whole or in part, the letter
 - i. cites the Director, Office of Classification as the denying official for classified information and cites the person provided as the denying official for other information exempt from release under the FOIA.

- ii. informs the requester of the right to appeal the classification determination within 60 calendar days of the receipt of the classification determination.
- iii. advises the requester of the name and address of the DOE official responsible for deciding an appeal

Michael Kilpatrick?
Office of Health, Safety and Security
19901 Germantown Road
Germantown, MD 20874-1290

Mandatory Declassification Review Appeal Procedures

1. Mandatory Declassification Reviews (MDR) appeals are submitted to the Office of Classification, Office of Quality Management. The Office of Quality Management coordinates appeals with the appropriate DOE organizations.
2. The Deciding Official for MDR Appeals is

Michael Kilpatrick?
Office of Health, Safety and Security
19901 Germantown Road
Germantown, MD 20874-1290
3. The Deciding Official should make a determination on an appeal within 30 working days following the receipt of the appeal, or within 60 working days following receipt if the Deciding Official determines that additional time is required to make a determination and so notifies the requester.
4. Upon receipt (what happens? Who does?)
 - b. *Assigns a case number and logs the request.*
 - c. *Notifies the requestor in writing that the request has been received (example of draft letter).*
 - d. *Submits the appeal to document reviewers in the Office of Quality Management.*
5. The Deciding Official should notify the requester in writing of the DOE's determination on appeal and, if applicable, the reasons for any whole or partial denial of the appeal.
6. The Office of Quality Management will also notify the requester of their right of a final appeal for any denied National Security Information to the Interagency Security Classification Appeals Panel, as appropriate, under 32 CFR 2001.33.

Comment [e1]: Mike Kilpatrick is the denying official if information is being withheld. If no information is withheld then Andy Weston-Dawkes will release the documents.

Comment [e2]: According to 32 CFR 2001.33 (a.2.iii) the "some entity" has 60 working days to respond to the requester with extension if needed.

Comment [e3]: Some appeals come through CATS where they are given a case number, then forwarded to Donna who puts it in HSCT, and finally given to the Document Reviewers. Other appeals come directly to the Office of Quality Management. In that case Donna takes it to CATS and then the procedure follows like before.

Comment [e4]: CATS provides a case number when they log the appeal into their system.

Comment [e5]: We do not know who notifies the appellant upon receipt.

Comment [e6]: The appeal comes to the document reviewers after it is entered into HSCT by Donna.

Comment [e7]: To Be Determined.