

## METHODOLOGY FOR DETERMINING APPROPRIATENESS OF AN ORIGINAL CLASSIFICATION DECISION

- Who made the decision?
  - Was the individual an original classification authority (OCA)? (§1.1 (a) (1), Order)
  - Was the individual properly delegated the authority?
    - By the President (§1.3 (a), Order); or
    - If Top Secret, by an official designated by the President (§1.3 (a) (2), Order)
    - If Secret or Confidential by an official designated by the President pursuant to §1.3 (a) (2), Order or by a Top Secret OCA designated pursuant to §1.3 (c) (2), Order (§1.3 (a) (3), Order)
    - Was the delegation in writing; did it identify the official by name or title? (§1.3 (c) (4), Order)
- Is the information owned by, produced by or for, or is under the control of the US Government? (§1.1 (2), Order)
- Does the information fall within one of more of prescribed categories of § 1.4, Order?
  - 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, which includes defense against transnational terrorism
  - United States Government programs for safeguarding nuclear materials or facilities
  - vulnerabilities or capabilities of systems, installations, infrastructures, projects, plans, or protection services relating to the national security, which includes defense against transnational terrorism
  - weapons of mass destruction
- Can the OCA identify or describe damage to national security that could be expected in the event of unauthorized disclosure? (§1.1 (4), Order)
  - If Top Secret, can its unauthorized disclosure be reasonably expected to cause exceptionally grave damage to the national security?
  - If Secret, can its unauthorized disclosure be reasonably expected to cause serious damage to the national security?
  - If Confidential, can its unauthorized disclosure be reasonably expected to cause damage to the national security?

- Is the information subject to prohibitions or limitations with respect to classification? (§1.7, Order)
  - Is the information classified in order to conceal violations of law, inefficiency or administrative error?
  - Is the information classified in order to prevent embarrassment to a person, organization, or agency?
  - Is the information classified in order to restrain competition?
  - Is the information classified in order to prevent or delay the release of information that does not require protection in the interest of national security?
  - Does the information relate to basic scientific research not clearly related to national security?
  - If the information had been declassified, released to the public under proper authority, and then reclassified:
    - Was the reclassification action taken under the personal authority of the agency head or deputy agency head based upon his or her determination that the reclassification was necessary in the interest of the national security?
    - Was that official's determination in writing?
    - Was the information reasonably recoverable?
    - Was the Director of the Information Security Oversight Office notified of the reclassification action?
  - If the information had not previously been disclosed to the public under proper authority but was classified or reclassified after receipt of an access request:
    - Does the classification meet the requirements of this order (to include the other elements of this methodology)?
    - Was it accomplished on a document-by-document basis with the personal participation or under the direction of the agency head, the deputy agency head, or the senior agency official?
  - If the classification decision addresses items of information that are individually unclassified but have been classified by compilation or aggregation:
    - Does the compilation reveal an additional association or relationship that meets the standards for classification under this order?
    - Was such a determination made by an OCA in accordance with the other elements of this methodology?
    - Is the additional association or relationship not otherwise revealed in the individual items of information?
  
- Other ancillary issues.
  - Did the OCA establish a specific date or event for declassification? (§1.1.5 (a), Order)
    - If duration greater than 10 years was the determination made by the OCA based upon the sensitivity of the information? (§1.5 (b), Order)
  - Were the essential markings below included? (§1.6, Order)
    - Portion marking
    - Overall classification

- A "Classified by" line to include the identity, by name or personal identifier, and position of the original classifier
  - A reason for classification
  - A "Declassify on" line
- Did the OCA consult existing guides prior to making original classification decision? (§2001.15 (a), Directive)
- How was the original classification decision documented and communicated? If incorporated into a classification guide: (§2.2, Order)
  - Was the guide personally approved, in writing, by an official with program or supervisory responsibility over the information (or by the senior agency official) and who had authority to classify information originally at the highest level of classification prescribed in the guide?
  - Does the guide contain the minimum prescribed information? (§2001.15 (b), Directive)
    - Identification of the subject matter of the classification guide;
    - Identification of the original classification authority by name or personal identifier, and position
    - Identification of an agency point-of-contact or points-of-contact for questions regarding the classification guide
    - The date of issuance or last review
    - Precise statement of the elements of information to be protected
    - Statement as to which classification level applies to each element of information, and, when useful, specific identification of the elements of information that are unclassified
    - Statement, when applicable, as to special handling caveats
    - Declassification instructions or the exemption category from automatic declassification at 25 years, as approved by the ISCAP
    - Statement of a concise reason for classification which, at a minimum, cites the applicable classification category or categories in section 1.4 of the Order.
  - Has the guide been reviewed and updated, as appropriate, at least once in the last five years? (§2001.15 (d) (1), Directive)
- Was the OCA appropriately trained? (§1.3 (d), Order)
  - Were essential elements covered in the training provided? (§2001.71 (c) (1), Directive)
- Is the management of classified information included as a critical element or item in the OCA's performance evaluation? (§5.4 (d) (7), Order)

## METHODOLOGY FOR DETERMINING APPROPRIATENESS OF A DERIVATIVE CLASSIFICATION DECISION

- Who made the decision?
  - Does the decision relate to the reproduction, extract or summation of classified information, either from a source document or as directed by a classification guide? (§2.1 (a), Order)
  - Is the decision directly attributable to and does it *precisely* reflect an appropriate original classification decision by an OCA, to include the level and duration of classification? (§2.1 (b) (1), Order)
- Is the information owned by, produced by or for, or is under the control of the US Government? (§1.1 (2), Order)
- Does the information fall within one or more of prescribed categories of § 1.4, Order?
  - 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, which includes defense against transnational terrorism
  - United States Government programs for safeguarding nuclear materials or facilities
  - vulnerabilities or capabilities of systems, installations, infrastructures, projects, plans, or protection services relating to the national security, which includes defense against transnational terrorism
  - weapons of mass destruction
- Can damage to national security be expected in the event of unauthorized disclosure? (§1.1 (4), Order)
  - If Top Secret, can its unauthorized disclosure be reasonably expected to cause exceptionally grave damage to the national security?
  - If Secret, can its unauthorized disclosure be reasonably expected to cause serious damage to the national security?
  - If Confidential, can its unauthorized disclosure be reasonably expected to cause damage to the national security?
- Is the information subject to prohibitions or limitations with respect to classification? (§1.7, Order)
  - Is the information classified in order to conceal violations of law, inefficiency or administrative error?
  - Is the information classified in order to prevent embarrassment to a person, organization, or agency?

- Is the information classified in order to restrain competition?
- Is the information classified in order to prevent or delay the release of information that does not require protection in the interest of national security?
- Does the information relate to basic scientific research not clearly related to national security?
- If the information had been declassified, released to the public under proper authority, and then reclassified:
  - Was the reclassification action taken under the personal authority of the agency head or deputy agency head based upon his or her determination that the reclassification was necessary in the interest of the national security?
  - Was that official's determination in writing?
  - Was the information reasonably recoverable?
  - Was the Director of the Information Security Oversight Office notified of the reclassification action?
- If the information had not previously been disclosed to the public under proper authority, but was classified or reclassified after receipt of an access request:
  - Does the classification meet the requirements of this order (to include the other elements of this methodology)?
  - Was it accomplished on a document-by-document basis with the personal participation or under the direction of the agency head, the deputy agency head, or the senior agency official?
- If the classification decision addresses items of information that are individually unclassified but have been classified by compilation or aggregation:
  - Does the compilation reveal an additional association or relationship that meets the standards for classification under the Order?
  - Was such a determination made by an OCA in accordance with the methodology for determining the appropriateness of an original classification decision?
  - Is the additional association or relationship not otherwise revealed in the individual items of information?
- Other ancillary issues not directly impacting the appropriateness of the derivative classification decision
  - Were the essential markings below included and were they appropriately carried forward from either the source document or classification guide? (§1.6 & §2.1 (b) (2), Order)
    - Portion marking
    - Overall classification
    - A "Classified by" line to include the identity, by name or personal identifier, and position of the original classifier
    - A "Declassify on" line
  - If derivatively classified from multiple sources: (§2.1 (b) (2), Order)
    - Does the date or event for declassification correspond to the longest period of classification among the sources carried forward?

- Was a listing of the multiple sources included in or attached to the official file or record copy?
- If the classification decision was based upon a classification guide: (§2.2, Order)
  - Was the guide personally approved, in writing, by an official with program or supervisory responsibility over the information (or by the senior agency official) and who had authority to classify information originally at the highest level of classification prescribed in the guide?
  - Does the guide contain the minimum prescribed information? (§2001.15 (b), Directive)
    - Identification of the subject matter of the classification guide;
    - Identification of the original classification authority by name or personal identifier, and position
    - Identification of an agency point-of-contact or points-of-contact for questions regarding the classification guide
    - The date of issuance or last review
    - Precise statement of the elements of information to be protected
    - Statement as to which classification level applies to each element of information, and, when useful, specific identification of the elements of information that are unclassified
    - Statement, when applicable, as to special handling caveats
    - Declassification instructions or the exemption category from automatic declassification at 25 years, as approved by the ISCAP
    - Statement of a concise reason for classification which, at a minimum, cites the applicable classification category or categories in section 1.4 of the Order.
  - Has the guide been reviewed and updated, as appropriate, at least once in the last five years? (§2001.15 (d) (1), Directive)
- Was the derivative classifier appropriately trained? (§5.4 (d) (3), Order)
  - Were essential elements covered in the training provided? (§2001.71 (c) (1), Directive)
- Is the management of classified information included as a critical element or item in the derivative classifier's performance evaluation if the creation or handling of classified information is a significant part of that individual's duties? (§5.4 (d) (7), Order)

THIS ALL CAN BE DETERMINED IN A SIMPLE DOCUMENT REVIEW W  
FOLLOW UP QUESTIONS TO CLASSIFIERS IF NECESSARY.