

February 1995
LALP-95-10

Los Alamos National Laboratory
Classification Group (FSS-16)

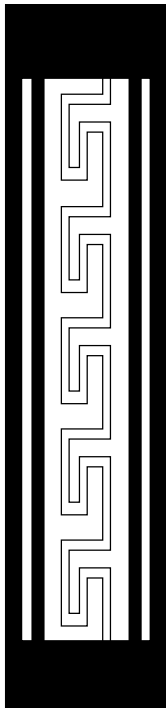


Designated Unclassified Subject Areas (DUSAs)

**Program Information
and User's Guide**

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Mail Stop F674, 7-5011



Designated Unclassified Subject Areas (DUSAs)

Program Information
and User's Guide

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November 19, 1994

Los Alamos
NATIONAL LABORATORY

■ Designated Unclassified Subject Areas (DUSAs)

Program Information and User Guide

■ WHAT IS A DUSA?

Designated Unclassified Subject Areas (DUSAs):

The Department of Energy has officially declared certain specifically defined subject areas to be devoid of classification concern, therefore, related documents are exempt from classification and sensitive information review requirements at Los Alamos. These subject areas are called Designated Unclassified Subject Areas, or DUSAs.

NOTE: Other facilities (e.g., LLNL) have DUSAs approved by DOE. However, the definition of a DUSA and its approval by DOE apply only to a specific facility. That is, LLNL DUSAs are *not* the same as Los Alamos DUSAs, and are not to be used at Los Alamos.

■ DOE REVIEW REQUIREMENTS

Classification and Sensitive Information Review Requirements:

All documents and material originating at Los Alamos National Laboratory must be reviewed for classification and sensitive information.

Exceptions

There are two exceptions to this DOE requirement (DOE Order 5650.2B):

1. Documents relating only to non-R&D, purely administrative activities, with no technical or programmatic content and no potential for using or generating classified information. Some examples are
 - payroll or benefits information,
 - property inventory lists, and
 - office procedure descriptions.Many other examples exist.
2. Documents related to R&D activities or programs officially declared (by DOE) to be exempt from classification review. Such exemptions apply to Designated Unclassified Subject Areas.

All other documents must be reviewed for classification and sensitive information by an Authorized Derivative Classifier (ADC). If such documents are intended for “widespread distribution or public release” (DOE 5650.2B), they must be reviewed by the Classification Group (FSS-16) prior to leaving the Laboratory.

Program Information and User Guide (continued)

■ GENERAL INFORMATION ABOUT DUSAs

If an area of information neither generates nor uses classified or sensitive information, the specific subject area may be defined and approved by DOE as a DUSA. Each DUSA will have a specific definition, along with related areas which are excluded from the DUSA. The intent of this description is to define as closely as possible the boundary of the information that falls within the DUSA. Nevertheless, some ambiguity is likely to remain, so that extreme caution must be exercised by authors in determining that a DUSA applies to their work. A DUSA may include all or part of the information used or generated in one or more programs or activities. Since the DUSA is not program-specific, when organizations and programs change, there is no change in the DUSA, which simply defines an area of unclassified, nonsensitive information.

Certain types of information (“General Exclusions”) may not be included in **any** DUSA. Also, each defined and approved DUSA may have “Specific Exclusions” which broadly define the boundaries of that DUSA. In order to be exempt from classification and sensitive information review, a document must contain only information that

- conforms to the official definition of an established DUSA (including its specific exclusions), and
- does not fall under any of the General Exclusions.

Using a DUSA

Remember, a DUSA refers to a **subject area**, not to a program or an organization. Any Laboratory employee may use an approved DUSA. To “use” a DUSA means to generate a document which contains **only** information which belongs to a designated, unclassified area listed in this guide. Then the document is exempt from classification and sensitive information review requirements. However, before using a DUSA, employees must be thoroughly familiar with the DUSA and its exclusions and with this program guide. Authors should be aware that having a DUSA apply to a document does not affect any review requirements (e.g., peer review) established by Laboratory organizations. Certain submission requirements for publications also still apply (see **DUSA Review Requirements** below).

Who May Use a DUSA?

There are no limitations on which Laboratory employees may use a DUSA except that the user must be cognizant of the information encompassed by the DUSA. Non-Laboratory employees, including contractor employees, visitors, collaborators, etc., **may not** use a DUSA unless specifically authorized by a cognizant Laboratory manager, Group Leader or higher. Such authorization must be by memo to the Group Leader of Classification (FSS-16), and is effective only for the duration of the non-Laboratory employee’s association with the Laboratory activity which falls under the specified DUSA.

Program Information and User Guide (continued)

New DUSAs If you wish to propose a new DUSA to cover your work, or to modify an existing approved DUSA, contact the Classification Group (FSS-16). Be prepared to supply a proposed definition as well as a list of exclusions for the proposed DUSA and to provide justification why the DUSA does not fall under one of the General Exclusions. New DUSAs must be approved by DOE/AL before they can be used at the Laboratory.

■ **DUSA REVIEW REQUIREMENTS** For information covered by a DUSA, authors of documents are responsible for ensuring that the particular DUSA applies and that none of the DUSA's Specific Exclusions or the General Exclusions apply. No further review by an Authorized Derivative Classifier or FSS-16 is required, whether or not the document is intended for public release.

NOTE: Documents intended for public release that fall under a DUSA must still be processed through the publication release section of the Classification Group (FSS-16) to receive a Los Alamos document number (LA-UR, LA-series, etc.) and to be archived and forwarded to the DOE Office of Scientific and Technical Information (OSTI). This processing is required for *all* Laboratory publications, in accordance with DOE Order 1430.1D, "Scientific and Technical Information Management." As part of this process, FSS-16 also submits Laboratory publications to Patent Law for required review. For documents which fall under a DUSA, processing will *not* include a classification review by FSS-16, thus significantly shortening the processing time compared with the three days normally required for non-DUSA documents.

For information which falls under a DUSA, the document author who is knowledgeable about the DUSA and its general and specific exclusions, may sign any required classification "sign off" if for any reason certification is required that a document has been reviewed. Documents that contain information which falls under the General Exclusions, or under a DUSA's Specific Exclusions, must be reviewed by an ADC if intended for limited distribution, or by FSS-16 if intended for public release.

Authors should note that the use of a DUSA does not affect any further release requirements (peer review, etc.) which may be established by individual Laboratory organizations.

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Summary

The differences between review requirements for DUSA documents and for non-DUSA documents are the following:

1. DUSA documents not intended for public release fall under the second exception to the review requirements described on Page 1 and do not require classification and sensitive information review. Non-DUSA documents do not meet this exception and do require review.
2. DUSA documents intended for public release must be processed through the publication release section of the Classification Group (FSS-16) as for all Laboratory publications, but will not receive a classification review prior to issuance of a Los Alamos (LA-UR, LA-series, etc.) number.

REMEMBER: In order to use a DUSA, there must be **absolutely no question** that the definition of the DUSA applies and that **none** of the general or specific exclusions apply. If any question or uncertainty exists, the DUSA **must not** be used and the document in question must receive a review for classified and sensitive information.

■ VIOLATIONS OF LABORATORY POLICY

Employees who inappropriately use a DUSA, and thus release information without proper review, will be in violation of Laboratory policy and may be banned from further use of any DUSA. If the information thus released is determined to be classified or sensitive, a security infraction or violation, or other penalties may also result. Employees should be aware that by using a DUSA, they are certifying that it is appropriate and that **none** of the exclusions apply. If any doubts exist about the applicability of a DUSA, or the definition and exclusions relating to it, the DUSA should **not** be used, and the Classification Group (FSS-16) should be consulted for clarification.

Program Information and User Guide (continued)

■ DUSAs AND PUBLICATION SUBMITTAL FORMS

Authors may note on Laboratory publication submittal forms that the information being submitted falls entirely within one or more DUSAs and, therefore, does not require classification and sensitive information review. Each approved DUSA, defined later, has a shorthand “designator” which should be used for this purpose. The Laboratory forms are

- **Form 678** (white, Technical Information Release, LA-UR/CP);
- **Form 595** (green, Submittal of LA-Series Reports); and
- **Form 894** (blue, Publication and Communication Request, LALP).

On Form 678, the relevant DUSA designator(s) should be entered in block #9, instead of the local ADC's signature. On Form 595, the designator should be entered in the Derivative Classifier block, again in place of the ADC signature. On Form 894, the designator should be entered in the “Classification” block under the “Classification Office” section on the reverse of the form.

In each case, the entry of a DUSA designator on the form means that the author or authors certify that they understand the definition of the DUSA and its exclusions, and that the use of the DUSA is appropriate. If a DUSA designator is used, the publication will **not** receive a classification and sensitive information review by FSS-16.

NOTE: Authors who are currently publishing under existing “Category I” programs and are, therefore, using the “yellow form” for publication submittal to FSS-16 should contact FSS-16 to discuss establishing a DUSA to cover their work. The designation of Category I programs at the Laboratory will be phased out as the DUSA program expands to cover more subject areas.

Program Information and User Guide (continued)

■ GENERAL EXCLUSIONS

Types of Information Incuded Under the General Exclusions:

In order for information to be released under a DUSA, it must not be related (whether or not the relationship is stated) to LANL or non-LANL programs or activities in the following areas:

- Nuclear explosives (for either military or peaceful use), including the use, development, testing, disposition, or storage of weapons or weapon components, U.S. or foreign;
 - Non-nuclear testing in support of nuclear weapons programs;
 - Naval nuclear reactors;
 - Nuclear material production, processing, or transportation;
 - Fissile isotope production or separation;
 - Inertial Confinement Fusion (ICF);
 - Foreign intelligence information;
 - Treaty proposals or negotiations, including development or discussion of verification technologies or National Technical Means (NTM) techniques;
 - Nuclear, biological, or chemical weapon proliferation or development by other countries, including analyses of capabilities, current programs, or studies of proliferation detection techniques, capabilities or detection avoidance schemes;
 - Weapon/military capabilities of the U.S. or other nations;
 - Any information derived from a classified program or activity, or having a classified application, whether or not stated;
 - Safeguards and security information concerning DOE facilities, including physical, computer, and information security;
 - Company proprietary or CRADA-related information;
 - Technical information or data which is restricted from foreign distribution under U.S. export control laws and regulations;
 - Information related to Work For Others (WFO) programs, where the funding source **has not** delegated ultimate information release authority to the Laboratory;
 - Personal/privacy information that is restricted from public release by Federal or State privacy acts or similar regulations.
-

Program Information and User Guide (continued)

DUSA Descriptions and Specific Exclusions:

■ AOE Atmospheric, Ocean, and Earth Sciences (Designator: AOE)

DEFINITION All information pertaining to the study of the physics, chemistry, and biology of the Earth's land surface, crust, core, mantle, oceans, atmosphere, and biosphere, including theoretical models, data analysis, and observational and experimental techniques.

EXCLUSIONS General Exclusions apply (see Page 6).

Specific Exclusions

- Any information about nuclear explosions or their effects, including conventional explosion effects in relation or comparison to nuclear explosions.

 - Any information about environmental releases of radioactive or other weapon materials or their by-products from
 - 1) nuclear, chemical, or biological weapons or facilities concerned with design, development, testing, storage, or use of such weapons;
 - 2) nuclear reactors having a classified application or mission; or
 - 3) any military weapon system.

 - Any information about malevolent dispersal of radioactive or hazardous material.
-

WHO MAY USE? Any Laboratory employee who is knowledgeable about the DUSA and its boundaries and exclusions (including the General Exclusions).

Program Information and User Guide (continued)

DUSA Descriptions and Specific Exclusions:

■ **GENOME** Human Genome (Designator: **GENOME**)

DEFINITION

All research pertaining to the following:

- Optimizing chromosome identification and sorting,
 - Improving cloning of chromosome-specific DNA;
 - Developing and optimizing DNA cloning strategies;
 - Developing chromosome-specific or site-specific physical or molecular maps;
 - Studying genes related to genetic defects;
 - Sequencing of human DNA fragments and genes;
 - Studying the relationship of DNA structure and sequence to gene regulation;
 - Studying chromosome structures and chromosome/protein interactions.
-

EXCLUSIONS

General Exclusions apply (see Page 6).

Specific Exclusions

Any aspect of Human Genome work related to national security.

WHO MAY USE?

Any Laboratory employee who is knowledgeable about the DUSA and its boundaries and exclusions (including the General Exclusions).

Program Information and User Guide (continued)

DUSA Descriptions and Specific Exclusions:

■ **BIO-H** **Biological Research/Health Effects (Designator: BIO-H)**

- DEFINITIONS**
- All information concerning the health effects of radon and low-level radiation on mammals, plants, and bacteria; and on mammalian, plant, and bacterial cells.
 - All information concerning cellular and molecular mechanisms of DNA repair.
 - All information concerning the effects of potential mutagenic or carcinogenic compounds on cells and small mammals.
-

EXCLUSIONS General Exclusions apply (see Page 6).

- Specific Exclusions**
- Any information about environmental releases of radioactive or other weapon materials or their by-products from
 - 1) nuclear, chemical, or biological weapons or facilities concerned with design, development, testing, storage, or use of such weapons;
 - 2) nuclear reactors having a classified application; or
 - 3) any military weapon system.
 - Any information concerning wastes generated by classified programs or activities.
 - Any information about malevolent dispersal of radioactive or hazardous material.
 - Any aspect of this work related to national security.
-

WHO MAY USE? Any Laboratory employee who is knowledgeable about the DUSA and its boundaries and exclusions (including the General Exclusions).

Program Information and User Guide (continued)

DUSA Descriptions and Specific Exclusions:

■ **BIO-S** **Structural Biology (Designator: BIO-S)**

DEFINITION

All information concerning the following:

- The structure of proteins, nucleic acids, carbohydrates, and other biopolymers;
 - Relationships between biomolecule structure and function;
 - Protein/nucleic acid interactions; and
 - Secondary structure of biopolymers.
-

EXCLUSIONS

General Exclusions apply (see Page 6).

Specific Exclusions

Any aspect of this work related to national security.

WHO MAY USE?

Any Laboratory employee who is knowledgeable about the DUSA and its boundaries and exclusions (including the General Exclusions).

Program Information and User Guide (continued)

DUSA Descriptions and Specific Exclusions:

■ **BIO-M** **Molecular Biology (Designator: BIO-M)**

DEFINITION All information concerning basic research into methods of gene amplification and cloning; gene identification, expression, or function; or defining DNA sequences.

EXCLUSIONS General Exclusions apply (see Page 6).

Specific Exclusions

- Any aspect of this work related to national security.
 - Any aspect of this work concerning production of potentially hazardous biological compounds by recombinant DNA means.
 - Any aspect of this work concerning organisms with potential biological warfare applications.
-

WHO MAY USE? Any Laboratory employee who is knowledgeable about the DUSA and its boundaries and exclusions (including the General Exclusions).

Program Information and User Guide (continued)

DUSA Descriptions and Specific Exclusions:

■ **BIO-C** Cellular Biology (Designator: BIO-C)

DEFINITION All information concerning the cell cycle, cell-cycle regulation, and genes and proteins associated with cell-cycle phases.

EXCLUSIONS General Exclusions apply (see Page 6).

Specific Exclusions Any aspects of this work related to national security.

WHO MAY USE? Any Laboratory employee who is knowledgeable about the DUSA and its boundaries and exclusions (including the General Exclusions).

Program Information and User Guide (continued)

DUSA Descriptions and Specific Exclusions:

■ FOSSIL Fossil Energy (Designator: FOSSIL)

DEFINITION All information concerning fossil energy (coal, gas, or petroleum) research and development, including exploration and recovery techniques, resource identification (conventional and non-conventional), modeling, geochemistry, and economic analyses. Also included are fuel processing and energy generation techniques.

EXCLUSIONS General Exclusions apply (see Page 6).

Specific Exclusions

- Any aspect of this work related to national security.
 - Any information related to the U.S. Strategic Petroleum Reserve.
 - Any CRADA-related or proprietary information.
-

WHO MAY USE?

Any Laboratory employee who is knowledgeable about the DUSA and its boundaries and exclusions (including the General Exclusions).

Program Information and User Guide (continued)

DUSA Descriptions and Specific Exclusions:

■ **GEO THERM Geothermal Energy (Designator: GEO THERM)**

DEFINITION All information concerning the study of naturally occurring heat within the earth and its use as an energy source, including hydrothermal, hot dry rock, and other sources. Included are extraction techniques, conversion technology, and economic analyses.

EXCLUSIONS General Exclusions apply (see Page 6).

Specific Exclusions

- Any aspect of this work related to national security.
 - Any CRADA-related or proprietary information.
-

WHO MAY USE? Any Laboratory employee who is knowledgeable about the DUSA and its boundaries and exclusions (including the General Exclusions).

Program Information and User Guide (continued)

DUSA Descriptions and Specific Exclusions:

■ YUCCA Yucca Mountain Project (Designator: YUCCA)

DEFINITION All information about the proposed high-level nuclear waste repository at Yucca Mountain and the Yucca Mountain Project activities, including environmental studies (geology, geochemistry, and climatologic effects), projected repository performance, repository design, waste/repository interactions, migration studies, and computer models predicting the long-term behavior of the above.

EXCLUSIONS General Exclusions apply (see Page 6).

Specific Exclusions

- Any aspect of this work related to national security.
 - Any information concerning production of nuclear material for weapons.
 - Any information on special nuclear material (SNM) waste from weapons research and development or from weapons production.
 - Any information on theft, diversion, or sabotage of SNM containers, or malevolent dispersal of nuclear material or SNM.
-

WHO MAY USE?

- Any Laboratory employee who is knowledgeable about the DUSA and its boundaries and exclusions (including the General Exclusions).
-

Program Information and User Guide (continued)

DUSA Descriptions and Specific Exclusions:

■ ADTO Accelerator Design, Technology, and Operations (Designator: ADTO)

DEFINITION All information on design, development, construction, and operation of particle accelerators and their components, including

- high brightness electron and ion beam sources and injectors;
- accelerating cavities, structures, and subsystems;
- particle beam transport, including beam lines, funneling, focusing, and steering;
- beam diagnostics, sensing, and control;
- magnets and electrodynamic components;
- high power radiofrequency generation;
- room temperature and superconducting radiofrequency cavities and structures;
- control systems and techniques;
- simulation tools and design codes, including for particle and beam dynamics, acceleration, transport, and control;
- spallation targets, other particle production targets, and experimental areas and beam lines;
- environmental, health, and safety policies and procedures, quality assurance and training activities, and facility management.

EXCLUSIONS General Exclusions apply (see Page 6).

Specific Exclusions

- Any information regarding Accelerator Production of Tritium (APT), including
 - 1) tritium production target design or performance;
 - 2) requirements or projections for production of tritium for the weapon program;
 - 3) information regarding tritium production capabilities or technologies pertaining to the nuclear weapons complex.

Program Information and User Guide (continued)

Accelerator Design, Technology, and Operations (continued)

Specific Exclusions (continued)

- Information about the use of accelerator technology for the production of nuclear materials for the weapon program.
 - Information on the source or characteristics of plutonium originally having military uses, as a candidate for accelerator-based transmutation or conversion.
 - Studies that have weapons, or other classified, application e.g., directed energy weapons; radiography, imaging, etc. in support of Above Ground Experiments (AGEX) for the nuclear weapon program; weapon vulnerability and hardening.
 - Accelerator technologies concerning programs classified by Department of Defense classification guides (e.g., neutral-particle-beam weapon program, free-electron-laser weapon program).
 - Studies on or applications of accelerator technology as a driver for Inertial Confinement Fusion (ICF).
 - Planning, design, or analysis of experiments or programs that **use** accelerated beams, unless covered by another DUSA.
-

WHO MAY USE?

Any Laboratory employee who is knowledgeable about the DUSA and its boundaries and exclusions (including the General Exclusions).
