

Student Guide

Course: Derivative Classification

Lesson: Classification Concepts

Introduction

Government and contractor personnel who extract, paraphrase, restate, or generate classified information in a new form are derivatively classifying the new content. When information is clearly identified as classified, it is marked as Top Secret, Secret, or Confidential. However, there are times in the derivative classification process when the classification of information is not clearly stated or obvious. This does not mean that the information is unclassified. Derivative classifiers must carefully analyze the material they are classifying to determine the information it contains or reveals and evaluate that information against authorized classification guidance.

Lesson Objectives

- Define and distinguish the differences in the concepts of “contained in,” “revealed by,” and “compilation”
- Recognize examples of “contained in” derivative classification based on various authorized sources
- Recognize examples of “revealed by” derivative classification based on various authorized sources
- Recognize examples of compilation of information derivative classification guided by authorized sources

Derivative Classification Terms and Concepts

1. Key Terms

There are different ways in which derivative classifiers can create new content from authorized sources. They can extract information, paraphrase or restate it, or generate that information in a new form. As part of their derivative classification responsibilities, they must correctly identify the classification level of the new material and mark it accordingly. It is important, therefore, to understand what each of these terms means.

- Extracting occurs when information is taken directly from an authorized classification guidance source and is stated verbatim in a new or different document.

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- Paraphrasing or restating occurs when information is taken from an authorized source and is re-worded in a new or different document. Derivative classifiers must be careful when paraphrasing or restating information to ensure that the classification has not been changed in the process.
- Generating is when information is taken from an authorized source and generated into another form or medium, such as a video, DVD, or CD.

Understanding the different ways of incorporating existing classified information into new material is only part of the picture, however. There are three key classification concepts you will need to apply in order to correctly classify your newly created materials.

2. Concepts Overview

There are three key concepts that you can use to determine the classification level of the material you create. Your new material may include classified information that is *contained in* the classification guidance. Or, because of the way it is organized or structured, your new material may *reveal* classified information that did not specifically appear in the classification guidance used to create it. Finally, your new material may aggregate, or bring together, pieces of information that are unclassified, or have one classification level, but when you present them together it either renders the new information classified or changes its classification level. This is called *compilation*. Let's take a closer look at each of these concepts.

"Contained In"

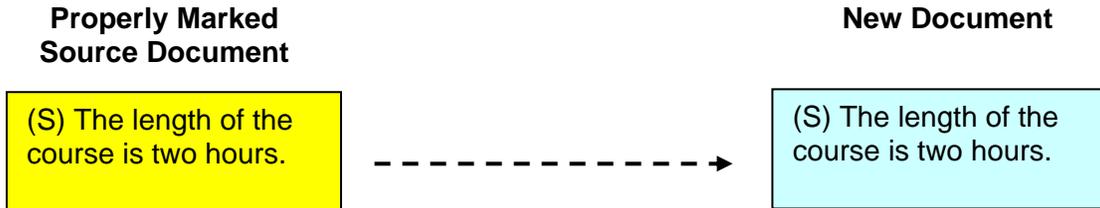
1. Definition

The concept of "contained in" applies when derivative classifiers incorporate classified information from an authorized source into a new document, and *no* additional interpretation or analysis is needed to determine the classification of that information. In other words, when classified information in a new document is *contained in* the authorized source, the new document's classification is derived directly from the classification of that source. The concept of "contained in" can apply when the information is extracted word-for-word or when the information is *paraphrased* or *restated* from the existing content.

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2. Examples

Let's review some examples of how the "contained in" concept determines the derivative classification of a new document.



In this example, the classification guidance is a properly marked source document. It contains classified information that has been extracted word-for-word into the new document. Because the information contained in the classification source was Secret, you must classify the new document Secret.

Let's look at another example:



Here, the information from the classified source is paraphrased and incorporated in the new document. Even though it is worded differently, the information in the new document is contained in the classified source, where it is Secret. Therefore, you must classify the new document Secret.

The "contained in" concept also applies to the use of an SCG. Sometimes, the guidance in an SCG may explicitly apply to the content you incorporate into a new document:



This SCG provides that the information about the length of the course is classified Secret. Because you have stated this exact information in your new document, you must apply this Secret classification as dictated by the SCG.

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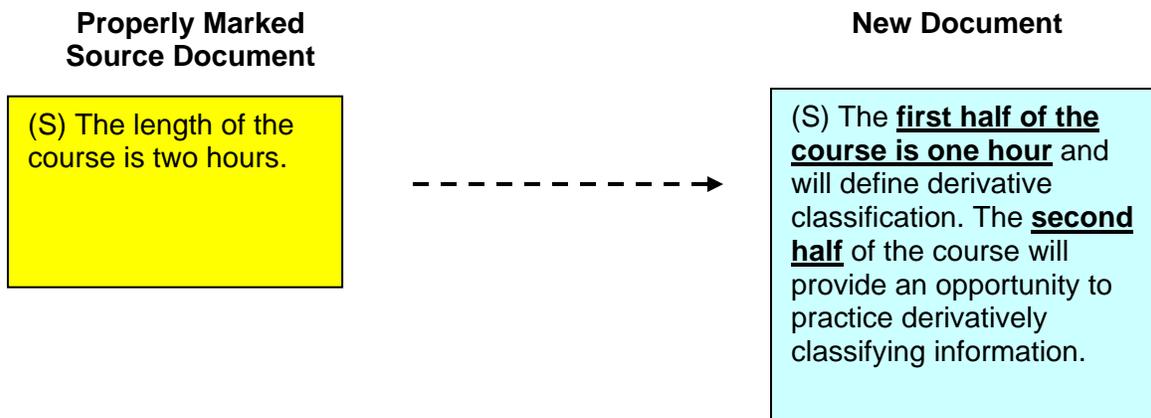
"Revealed by"

1. Definition

The concept of "revealed by" applies when derivative classifiers incorporate classified information from an authorized source into a new document that is *not* clearly or explicitly stated in the source document. However, a reader can *deduce* the classified information from the new document by performing some level of additional interpretation or analysis. In this sense, the classified nature of the information in the new document is *revealed by* analysis of its contents, so it will need to be marked in accordance with that classification.

2. Example

Let's look at some examples of how the classification of information can be revealed through analysis.

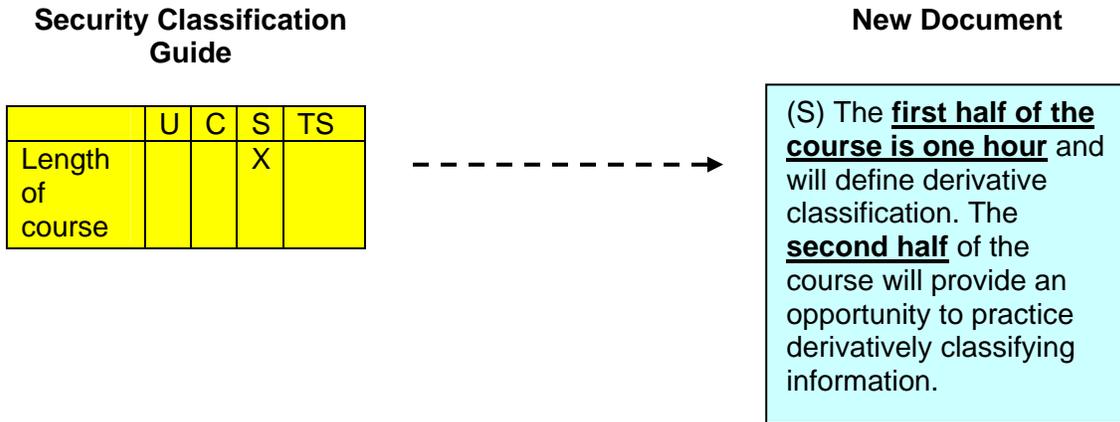


The properly marked source document contains some Secret information. Your new document does not contain that same information. However, the information in your new document will allow a reader to *deduce* the classified information.

If the *first* half of the course is one hour long, it follows that the *second* half would be the same length -- one hour. Since the course has two one-hour halves, it must be two hours long. This information is classified Secret according to the properly marked source document, so you must apply the same classification markings to the information in your new document.

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The concept of "revealed by" also applies when you are using an SCG as classification guidance. You need to look at what information can be deduced from what you have included in your new material and check whether that information is *itself* listed as classified in an SCG:



"Classification by Compilation"

1. Definition

Sometimes combining two or more pieces of unclassified information can result in an aggregate that is classified. This occurrence is called compilation, or aggregation.

Classification by compilation involves combining or associating unclassified individual elements of information with one classification level to reveal an additional association or relationship that warrants a classified level of protection. Classification by compilation is not the norm when derivatively classifying information. However, because of the risks involved, it is critical to refer to classification guidance, such as SCGs, to ensure otherwise unclassified information does not become classified when you use it in a new document.

There are some special procedures to follow whenever you classify information by compilation. First, you must place a clearly-worded explanation of the basis for classification by compilation on the face of the new document or include it in the text. You must also mark each element of information individually according to its classified content. This will allow subsequent derivative classifiers to use the individual elements at their original classification level.

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2. Examples

Let's look at an example of classification by compilation. You have two Theater-Wide Operation Failure Reports, both of which are unclassified. When you refer to the SCG below, you can verify this fact in row 3.3.2.8:

Security Classification Guide

	U	C	S	TS
3.3.2.8 Single theater-wide operation failure report, outage report, problem report, or investigation report	X			
3.3.2.9 Compilation of two or more theater-wide operation failure reports, outage reports, problem reports, or investigation reports within the same document			X	

Therefore, if you create a new document that mentions either report alone, that new document will also be unclassified. But the *next* row in the SCG indicates that if you compile two or more of the listed report types into a single document, the classification level changes.

Imagine you need to create an Investigation Report that summarizes the contents of two Theater-Wide Operation Failure reports:

(U) Theater-wide Operation Failure Report	
(U) Table of Contents	
(U) Introduction.....	1
(U) Theater-wide outage report.....	2

(U) Theater-wide Operation Failure Report	
(U) Table of Contents	
(U) Introduction.....	1
(U) Theater-wide outage report.....	2

When you aggregate these unclassified pieces of information in a new document, the SCG indicates that the information taken *together* should be classified as Secret.

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(U) Investigation Report

(U) Table of Contents

(U) Introduction.....1
 (U)* Theater-wide outage report.....2
 (U)* Theater-wide problem report.....3

*Note that the compilation of two or more theater-wide operation failure reports, outage reports, problem reports, or investigation reports within the same document is classified as Secret.

SECRET

Note that the individual pieces of information should still be marked unclassified, consistent with their original classification. You are also required to explain the basis for your classification by compilation. The note on the report above is one example of how you might do so. If you think classification by compilation applies to your situation, refer to your classification guidance. Although classification by compilation may be rare, some types of information are more likely to be subject to it. Here are some examples:

Example: Budget and Tables of Distribution

	U	C	S	TS
3.3.3.7 Budget	X			
3.3.3.8 Tables of Distribution	X			
3.3.3.9 Compilation of both budget and tables of distribution within the same document		X		

Example: Staffing and Equipment Allowances

	U	C	S	TS
3.3.4.7 Staffing		X		
3.3.4.8 Equipment allowances		X		
3.3.4.9 Compilation of both staffing and equipment allowances within the same document			X	

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Example: Mission and Geographic Location

	U	C	S	TS
3.3.2.7 Mission	X			
3.3.2.8 Geographic Location	X			
3.3.2.9 Compilation of both mission and geographic location within the same document			X	

Seeking Further Guidance

1. When and Where to Seek Guidance

As a derivative classifier, it is important to use your subject matter expertise and classification knowledge when analyzing information. If the classification in the existing content seems incorrect or there is conflicting guidance from authorized sources, you are required to seek further guidance.

Remember, as a derivative classifier, you are not authorized to make original classification decisions. Only the cognizant original classification authority has that authority. Rather, your duty is to derivatively classify new documents based on classification guidance and to seek clarification or further direction when the classification guidance is in question.

Some issues may lead you to believe that an existing document is incorrectly marked. These include the level of classification, the duration of the classification, special control requirements, and outdated classification guidance. When there is a conflict between an existing document and an SCG, the SCG takes precedence.

When you are unsure of how to mark the new document, DoD employees should contact their security manager or OCA and contractor employees should contact their FSO or Government Contracting Authority. Your community will define the appropriate chain-of-command or channels for resolving such issues.

When in doubt, you should always seek additional guidance rather than guess or speculate how to mark the new document. Remember, your derivative classification determinations may have far-reaching effects on national security and the efficient use of resources.

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Review Activity

Question 1

Using the source document and the SCG, identify the concept used to determine the derivative classification of the new document.

- Contained in
- Revealed by
- Classification by compilation

Properly Marked Source Document

(S) Test firings will begin 3 October and end 24 November.

(U) The unit will conduct test firings.

(U) Unit members are Jones, Williams, and Smith.



New Document

(S) The firings will begin on October 3rd and end on November 24th.

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	U	C	S	TS
The unit will conduct test firings.	X			
Test firing dates			X	
Unit members are Jones, Williams, and Smith.	X			
Compilation of unit member names and fact that the unit will conduct test firings			X	

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Question 2

Using the source document and the SCG, identify the concept used to determine the derivative classification of the new document.

- Contained in
- Revealed by
- Classification by compilation

Properly Marked Source Document

(S) Test firings will begin 3 October and end 24 November.

(U) The unit will conduct test firings.

(U) Unit members are Jones, Williams, and Smith.



New Document

(S) Jones is unavailable because her unit is conducting test firings.

Security Classification Guide

	U	C	S	TS
The unit will conduct test firings.	X			
Test firing dates			X	
Unit members are Jones, Williams, and Smith.	X			
Compilation of unit member names and fact that the unit will conduct test firings			X	

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Question 3

Using the source document and the SCG, identify the concept used to determine the derivative classification of the new document.

- Contained in
- Revealed by
- Classification by compilation

Properly Marked Source Document

(S) Test firings will begin 3 October and end 24 November.

(U) The unit will conduct test firings.

(U) Unit members are Jones, Williams, and Smith.



New Document

(S) Unit members cannot attend training while they conduct test firings. Unit members must attend training before 2 October or after 24 November.

Security Classification Guide

	U	C	S	TS
The unit will conduct test firings.	X			
Test firing dates			X	
Unit members are Jones, Williams, and Smith.	X			
Compilation of unit member names and fact that the unit will conduct test firings			X	

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Lesson Conclusion

In this lesson, you learned about the key concepts in derivative classification: contained in, revealed by, and classification by compilation.

Contained in:	Definition: Incorporating classified information from an authorized source of classification guidance into a new document <ul style="list-style-type: none">• No additional interpretation/analysis needed to deduce classification
Revealed by:	Definition: Incorporating classified information into a new document that is <i>NOT</i> clearly stated in an authorized source of classification guidance <ul style="list-style-type: none">• Additional interpretation or analysis needed to deduce the classification
Compilation:	Definition: combining or associating individually unclassified information to reveal information that is classified Requirements: <ul style="list-style-type: none">• Explain the basis for classification by compilation on the face of the document or in the text• Mark each portion individually according to its classified content

You also learned about when and where to seek additional guidance when performing derivative classification.

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Answer Key

Question 1

The classified information is **contained in** the existing document and has been paraphrased in the new document. The SCG identifies the test firing dates as Secret information. No additional interpretation was needed to identify this information's classification.

Question 2

Both pieces of information are unclassified on their own, but together, they are **classified by compilation**. The SCG identifies the compilation of the unit members' names and the fact that the unit is conducting test firing as Secret information.

Question 3

The classification is **revealed by** analyzing the information. The SCG identifies the test firing dates as Secret information. By analyzing the information in the new content, the reader is able to deduce that test firing will occur between 3 October and 24 November.

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