Reports on Computer Systems Technology

The Information Technology Laboratory (ITL) at the National Institute of Standards and Technology (NIST) promotes the U.S. economy and public welfare by providing technical leadership for the Nation’s measurement and standards infrastructure. ITL develops tests, test methods, reference data, proof of concept implementations, and technical analyses to advance the development and productive use of information technology. ITL’s responsibilities include the development of management, administrative, technical, and physical standards and guidelines for the cost-effective security and privacy of non-national security-related information in Federal information systems. This special publication 800-series reports on ITL’s research, guidelines, and outreach efforts in information system security, and its collaborative activities with industry, government, and academic organizations.
Authority

The National Institute of Standards and Technology (NIST) has developed this document in furtherance of its statutory responsibilities under the Federal Information Security Management Act (FISMA) of 2002, Public Law 107-347.

NIST is responsible for developing standards and guidelines, including minimum requirements, for providing adequate information security for all agency operations and assets, but such standards and guidelines shall not apply to national security systems. This guideline is consistent with the requirements of the Office of Management and Budget (OMB) Circular A-130, Section 8b(3), Securing Agency Information Systems, as analyzed in A-130, Appendix IV: Analysis of Key Sections. Supplemental information is provided A-130, Appendix III.

This guideline has been prepared for use by Federal agencies. It may be used by non-governmental organizations on a voluntary basis and is not subject to copyright. (Attribution would be appreciated by NIST.)

Nothing in this document should be taken to contradict standards and guidelines made mandatory and binding on Federal agencies by the Secretary of Commerce under statutory authority. Nor should these guidelines be interpreted as altering or superseding the existing authorities of the Secretary of Commerce, Director of the OMB, or any other Federal official.

National Institute of Standards and Technology, Special Publication 800-60
Acknowledgements

The authors wish to thank their colleagues who reviewed drafts of this document and contributed to its
development. Special thanks are due to Tanya Brewer-Joneas for her careful and thoughtful review. The
authors also gratefully acknowledge and appreciate the many comments from the public and private sectors
whose thoughtful and constructive comments improved the quality and usefulness of this publication.
Note

This is Volume II of two volumes. It contains the appendixes to NIST Special Publication 800-60.

NIST Special Publication (SP) 800-60 may be used by organizations in conjunction with an emerging family of security-related publications including:

- NIST SP 800-53A, *Techniques and Procedures for Verifying the Effectiveness of Security Controls in Information Systems* (Initial public draft), Fall 2004;
- NIST SP 800-59, *Guidelines for Identifying an Information System as a National Security System*, August 2003; and
- FIPS Publication 200, *Minimum Security Controls for Federal Information Systems*, (Projected for publication, Fall 2005)1

The series of seven documents, when completed, is intended to provide a structured, yet flexible framework for selecting, specifying, employing, and evaluating the security controls in Federal information systems—and thus, make a significant contribution toward satisfying the requirements of the Federal Information Security Management Act (FISMA) of 2002. We regret that all seven publications could not be released simultaneously. However, due to the current international climate and high priority of information security for the Federal government, we have decided to release the individual publications as they are completed. While the publications are mutually reinforcing and have some dependencies, in most cases, they can be effectively used independently of one another.

The information types and security impact levels in Special Publication 800-60 are based on the OMB Federal Enterprise Architecture Program Management Office Business Reference Model 2.0, inputs from participants in NIST SP 800-60 workshops, and FIPS 199. Rationale for the example impact level recommendations provided in appendixes have been derived from multiple sources, and as such, will require review, comment, and modification to achieve consistency in terminology, structure, and content. The prerequisite role played by security categorization in selection of SP 800-53 security controls, and the importance of security controls in the protection of Federal information systems demands early exposure to the community who will be employing those controls and thus, motivated the release of this document as the earliest opportunity.

---

EXECUTIVE SUMMARY

Title III of the E-Government Act (Public Law 107-347), titled the Federal Information Security Management Act (FISMA), tasked the National Institute of Standards and Technology (NIST) to develop:

- Standards to be used by all Federal agencies to categorize all information and information systems collected or maintained by or on behalf of each agency based on the objectives of providing appropriate levels of information security according to a range of risk levels;
- Guidelines recommending the types of information and information systems to be included in each such category; and
- Minimum information security requirements (i.e., management, operational, and technical controls), for information and information systems in each such category.

In response to the second of these tasks, this guideline has been developed to assist Federal government agencies to categorize information and information systems. The guideline’s objective is to facilitate provision of appropriate levels of information security according to a range of levels of impact or consequences that might result from the unauthorized disclosure, modification, or loss of availability of the information or information system. This guideline assumes that the user is familiar with Standards for Security Categorization of Federal Information and Information Systems (FIPS 199). The guideline and its appendixes:

- Review the security categorization terms and definitions established by FIPS 199;
- Recommend a security categorization process;
- Describe a methodology for identifying types of Federal information and information systems;
- Suggest provisional security impact levels for common information types;
- Discuss information attributes that may result in variances from the provisional impact level assignment; and
- Describe how to establish a system security categorization based on the system’s use, connectivity, and aggregate information content.

Types of information can normally be divided into information associated with administrative activities common to most agencies and information associated with an agency’s mission-specific activities. In this guideline, administrative, management, and support information is referred to as management and support information. This guideline is less prescriptive for mission-based information than for administrative and support information because there is significantly less commonality of mission information types among agencies than is the case for administrative and support information. While specific administrative and support information types are identified in this guideline, the treatment of mission-based information focuses on general guidelines for identification of information types and assignment of impact levels.
(Examples of management and support impact assignments are discussed in Appendix C, and examples of mission-based impact assignments are discussed in Appendix D.)

This document is intended as a reference resource rather than as a tutorial. Not all of the material will be relevant to all agencies. This document includes two volumes: a basic guideline and a volume of appendixes. Users should review the guidelines provided in Volume I, then refer to only that specific material from the appendixes that applies to their own systems and applications.

The provisional impact assignments contained in the appendixes are only the first step in impact assignment and subsequent risk assessment processes. The impact assignments are not intended to be used by auditors as a definitive checklist for information types and impact assignments.

The basis employed in this guideline for the identification of information types is the Office of Management and Budget’s Federal Enterprise Architecture Program Management Office’s June 2003 publication, The Business Reference Model Version 2.0 (BRM). The BRM describes functions relating to the purpose of government (missions, or services to citizens), the mechanisms the government uses to achieve its purpose (modes of delivery), the support functions necessary to conduct government (support services), and the resource management functions that support all areas of the government’s business (management of resources). The information types associated with support services and management of resources functions are treated as management and support types. (Although the OMB BRM is subject to revision from time to time, not all BRM changes will result in changes to the information taxonomy employed in this guideline.) Some additional information types have been added at the request of Federal agencies. Appendix C recommends provisional confidentiality, integrity, and availability information categories for each management and support information type and provides rationale underlying the provisional impact levels. The information types associated with services to citizens and modes of delivery functions are treated as mission-based information. Recommended provisional impact levels, underlying rationale, and examples of rationale for deviation from the provisional assignments for mission-based information types are provided in Appendix D.

Some information has been established in law, by Executive Order, or by agency regulation as requiring protection from disclosure. Appendix E addresses legal and executive sources that establish sensitivity and/or criticality (These terms are defined in Appendix A.) characteristics for information processed by Federal government departments and agencies. Individual citations from the United States Code are listed in the appendix.
GUIDE FOR MAPPING TYPES OF INFORMATION AND INFORMATION SYSTEMS TO SECURITY CATEGORIES

Volume II: Appendixes

Table of Contents

EXECUTIVE SUMMARY ........................................................................................................................................ vii

APPENDIX A: GLOSSARY OF TERMS .................................................................................................................. 1

APPENDIX B: REFERENCES ................................................................................................................................... 7

APPENDIX C: MANAGEMENT AND SUPPORT INFORMATION AND INFORMATION SYSTEMS IMPACT LEVELS .................................................................................................................. 9

C.1 Recommended Provisional Impact Levels for Management and Support Information Types ........................................................................................................................................... 10

C.2 Rationale and Factors for Services Delivery Support Information ................................................................. 22
  C.2.1 Controls and Oversight ................................................................................................................................... 22
    C.2.1.1 Corrective Action Information Type ........................................................................................................... 22
    C.2.1.2 Program Evaluation Information Type ........................................................................................................... 23
    C.2.1.3 Program Monitoring Information Type ........................................................................................................... 25
  C.2.2 Regulatory Development ............................................................................................................................... 26
    C.2.2.1 Policy and Guidance Development Information Type ....................................................................................... 27
    C.2.2.2 Public Comment Tracking Information Type ..................................................................................................... 28
    C.2.2.3 Regulatory Creation Information Type ............................................................................................................. 29
    C.2.2.4 Rule Publication Information Type ................................................................................................................... 30
  C.2.3 Planning and Resource Allocation ................................................................................................................... 31
    C.2.3.1 Budget Formulation Information Type ............................................................................................................. 31
    C.2.3.2 Capital Planning Information Type .................................................................................................................... 33
    C.2.3.3 Enterprise Architecture Information Type ........................................................................................................... 34
    C.2.3.4 Strategic Planning Information Type .................................................................................................................. 35
    C.2.3.5 Budget Execution Information Type .................................................................................................................... 37
    C.2.3.6 Workforce Planning Information Type ............................................................................................................... 38
    C.2.3.7 Management Improvement Information Type ................................................................................................. 39
  C.2.4 Internal Risk Management and Mitigation ..................................................................................................... 40
    C.2.4.1 Contingency Planning Information Type ........................................................................................................... 40
    C.2.4.2 Continuity of Operations Information Type ..................................................................................................... 42
C.2.4.3 Service Recovery Information Type .................................................................43
C.2.5 Revenue Collection ..............................................................................................45
C.2.5.1 Debt Collection Information Type .................................................................45
C.2.5.2 User Fee Collection Information Type ...........................................................46
C.2.5.3 Federal Asset Sales Information Type ...........................................................47
C.2.6 Public Affairs ......................................................................................................49
C.2.6.1 Customer Services Information Type ............................................................49
C.2.6.2 Official Information Dissemination Information Type .................................50
C.2.6.3 Product Outreach Information Type ..............................................................51
C.2.6.4 Public Relations Information Type .................................................................53
C.2.7 Legislative Relations ..........................................................................................54
C.2.7.1 Legislation Tracking Information Type ..........................................................54
C.2.7.2 Legislation Testimony Information Type .........................................................55
C.2.7.3 Proposal Development Information Type ......................................................56
C.2.7.4 Congressional Liaison Information Type .........................................................57
C.2.8 General Government .........................................................................................59
C.2.8.1 Central Fiscal Operations Information Type ..................................................59
C.2.8.2 Legislative Functions Information Type ..........................................................60
C.2.8.3 Executive Functions Information Type ..........................................................61
C.2.8.4 Central Property Management Information Type ...........................................62
C.2.8.5 Central Personnel Management Information Type ..........................................64
C.2.8.6 Taxation Management Information Type .......................................................65
C.2.8.7 Central Records and Statistics Management Information Type ...................67
C.2.8.8 Income Information ........................................................................................68
C.2.8.9 Personal Identity and Authentication Information ...........................................70
C.2.8.10 Entitlement Event Information .....................................................................72
C.2.8.11 Representative Payee Information .................................................................73

C.3 Rationale and Factors for Government Resource Management Information ..........75
C.3.1 Administrative Management ............................................................................75
C.3.1.1 Facilities, Fleet, and Equipment Management Information Type .................75
C.3.1.2 Help Desk Services Information Type ............................................................78
C.3.1.3 Security Management Information Type .......................................................79
C.3.1.4 Travel Information Type ................................................................................81
C.3.1.5 Workplace Policy Development and Management Information Type (Intra-Agency Only) ...........................................................................................................82
C.3.2 Financial Management .....................................................................................83
C.3.2.1 Assets and Liability Management Information Type ........................................84
C.3.2.2 Reporting and Information Information Type .................................................85
C.3.2.3 Budget and Finance Information Type .............................................................86
C.3.2.4 Accounting Information Type ........................................................................88
C.3.2.5 Payments Information Type ...........................................................................89
C.3.2.6 Collections and Receivables Information Type ................................................90
C.3.3 Human Resources...............................................................................................91
C.3.3.1 Benefits Management Information Type .................................................................92
C.3.3.2 Personnel Management Information Type .............................................................93
C.3.3.3 Payroll Management and Expense Reimbursement Information Type .........................94
C.3.3.4 Resource Training and Development Information Type ..............................................96
C.3.3.5 Security Clearance Management Information Type ..................................................97
C.3.3.6 Staff Recruitment and Employment Information Type .............................................98
C.3.4 Supply Chain Management ..........................................................................................99
C.3.4.1 Goods Acquisition Information Type .........................................................................99
C.3.4.2 Inventory Control Information Type .........................................................................101
C.3.4.3 Logistics Management Information Type ....................................................................103
C.3.4.4 Services Acquisition Information Type .......................................................................104
C.3.5 Information and Technology Management .....................................................................106
C.3.5.1 System Development Information Type .....................................................................106
C.3.5.2 Lifecycle/Change Management Information Type .......................................................107
C.3.5.3 System Maintenance Information Type ......................................................................108
C.3.5.4 IT Infrastructure Maintenance Information Type ........................................................109
C.3.5.5 IT Security Information Type ....................................................................................111
C.3.5.6 Record Retention Information Type ..........................................................................112
C.3.5.7 Information Management Information Type ...............................................................113

APPENDIX D: IMPACT DETERMINATION FOR MISSION-BASED
INFORMATION AND INFORMATION SYSTEMS .........................................................117

D.1 Defense and National Security ........................................................................................122

D.2 Homeland Security ...............................................................................................................123
D.2.1 Border and Transportation Security Information Type ................................................123
D.2.2 Key Asset and Critical Infrastructure Protection Information Type ................................125
D.2.3 Catastrophic Defense Information Type .......................................................................126
D.2.4 Executive Functions of the Executive Office of the President (EOP) Information
  Type ......................................................................................................................................127

D.3 Intelligence Operations .........................................................................................................128

D.4 Disaster Management ..........................................................................................................130
D.4.1 Disaster Monitoring and Prediction Information Type ..................................................130
D.4.2 Disaster Preparedness and Planning Information Type ................................................131
D.4.3 Disaster Repair and Restoration Information Type ........................................................133
D.4.4 Emergency Response Information Type ........................................................................134

D.5 International Affairs and Commerce ..................................................................................135
D.5.1 Foreign Relations Information Type ...............................................................................135
D.5.2 International Development and Humanitarian Aid Information Type ..........................137
D.5.3 Global Trade Information Type .....................................................................................139
D.6 Natural Resources ..........................................................141
  D.6.1 Water Resource Management Information Type .....................141
  D.6.2 Conservation, Marine and Land Management Information Type ...142
  D.6.3 Recreational Resource Management and Tourism Information Type 144
  D.6.4 Agricultural Innovation and Services Information Type ..............146

D.7 Energy ...............................................................................147
  D.7.1 Energy Supply Information Type ..............................................147
  D.7.2 Energy Conservation and Preparedness Information Type ..........149
  D.7.3 Energy Resource Management Information Type ......................150
  D.7.4 Energy Production Information Type ........................................151

D.8 Environmental Management ....................................................152
  D.8.1 Environmental Monitoring and Forecasting Information Type ......152
  D.8.2 Environmental Remediation Information Type ..........................154
  D.8.3 Pollution Prevention And Control Information Type ..................155

D.9 Economic Development ..........................................................156
  D.9.1 Business and Industry Development Information Type ...............156
  D.9.2 Intellectual Property Protection Information Type .....................157
  D.9.3 Financial Sector Oversight Information Type .............................158
  D.9.4 Industry Sector Income Stabilization Information Type ..............160

D.10 Community and Social Services ..............................................161
  D.10.1 Homeownership Promotion Information Type ............................161
  D.10.2 Community and Regional Development Information Type ........162
  D.10.3 Social Services Information Type ..........................................163
  D.10.4 Postal Services Information Type ...........................................164

D.11 Transportation .....................................................................166
  D.11.1 Ground Transportation Information Type .................................166
  D.11.2 Water Transportation Information Type .....................................168
  D.11.3 Air Transportation Information Type .......................................169
  D.11.4 Space Operations Information Type .......................................171

D.12 Education ............................................................................173
  D.12.1 Elementary, Secondary, and Vocational Education Information Type 173
  D.12.2 Higher Education Information Type .........................................174
  D.12.3 Cultural and Historic Preservation Information Type ...............175
  D.12.4 Cultural and Historic Exhibition Information Type ..................176

D.13 Workforce Management ........................................................177
  D.13.1 Training and Employment Information Type ............................177
  D.13.2 Labor Rights Management Information Type ...........................178
  D.13.3 Worker Safety Information Type ............................................179
D.14 Public Health .....................................................................................................................180
  D.14.1 Illness Prevention Information Type ...........................................................................181
  D.14.2 Immunization Management Information Type ............................................................182
  D.14.3 Public Health Monitoring Information Type ...............................................................183
  D.14.4 Health Care Services Information Type .................................................................184
  D.14.5 Consumer Health and Safety Information Type .........................................................185

D.15 Income Security ................................................................................................................187
  D.15.1 General Retirement and Disability Information Type ................................................187
  D.15.2 Unemployment Compensation Information Type ......................................................188
  D.15.3 Housing Assistance Information Type ........................................................................189
  D.15.4 Food and Nutrition Assistance Information Type ......................................................190
  D.15.5 Survivor Compensation Information Type .................................................................191

D.16 Law Enforcement ..............................................................................................................192
  D.16.1 Criminal Apprehension Information Type ...................................................................193
  D.16.2 Criminal Investigation and Surveillance Information Type ........................................194
  D.16.3 Citizen Protection Information Type ...........................................................................196
  D.16.4 Leadership Protection Information Type .....................................................................197
  D.16.5 Property Protection Information Type .........................................................................198
  D.16.6 Substance Control Information Type ........................................................................200
  D.16.7 Crime Prevention Information Type ............................................................................202
  D.16.8 Trade Law Enforcement Information Type ................................................................203

D.17 Litigation and Judicial Activities .....................................................................................204
  D.17.1 Judicial Hearings Information Type ............................................................................204
  D.17.2 Legal Defense Information Type ................................................................................205
  D.17.3 Legal Investigation Information Type ..........................................................................207
  D.17.4 Legal Prosecution/Litigation Information Type ..........................................................209
  D.17.5 Resolution Facilitation Information Type ....................................................................211

D.18 Federal Correctional Activities .......................................................................................212
  D.18.1 Criminal Incarceration Information Type ....................................................................212
  D.18.2 Criminal Rehabilitation Information Type .................................................................213

D.19 General Sciences and Innovation ...................................................................................214
  D.19.1 Scientific and Technical Research and Innovation Information Type .......................214
  D.19.2 Space Exploration and Innovation Information Type ...............................................216

D.20 Knowledge Creation and Management .........................................................................217
  D.20.1 Research and Development Information Type ............................................................217
  D.20.2 General Purpose Data and Statistics Information Type ..............................................218
  D.20.3 Advising and Consulting Information Type ...............................................................220
  D.20.4 Knowledge Dissemination Information Type ..............................................................221
D.21 Regulatory Compliance and Enforcement .................................................................222
  D.21.1 Inspections and Auditing Information Type ............................................................222
  D.21.2 Standards Setting/Reporting Guideline Development Information Type ............223
  D.21.3 Permits and Licensing Information Type ...............................................................225

D.22 Public Goods Creation and Management ..................................................................226
  D.22.1 Manufacturing Information Type ........................................................................226
  D.22.2 Construction Information Type ...........................................................................227
  D.22.3 Public Resources, Facilities and Infrastructure Management Information Type ....228
  D.22.4 Information Infrastructure Management Information Type ................................229

D.23 Federal Financial Assistance ..................................................................................231
  D.23.1 Federal Grants (Non-State) Information Type ........................................................231
  D.23.2 Direct Transfers to Individuals Information Type ..................................................232
  D.23.3 Subsidies Information Type ................................................................................234
  D.23.4 Tax Credits Information Type .............................................................................235

D.24 Credit and Insurance ...............................................................................................236
  D.24.1 Direct Loans Information Type ............................................................................236
  D.24.2 Loan Guarantees Information Type .....................................................................237
  D.24.3 General Insurance Information Type ...................................................................238

D.25 Transfers to State/Local Governments ...................................................................240
  D.25.1 Formula Grants Information Type .........................................................................240
  D.25.2 Project/Competitive Grants Information Type .......................................................241
  D.25.3 Earmarked Grants Information Type ....................................................................242
  D.25.4 State Loans Information Type ................................................................................243

APPENDIX E: LEGISLATIVE AND EXECUTIVE SOURCES ESTABLISHING
SENSITIVITY/Criticality .................................................................................................245

E.1 Legislative Mandates .................................................................................................245

E.2 Executive Mandates ..................................................................................................282
  E.2.1 Office of Management and Budget Memoranda and Guidelines .........................282
  E.2.2 Presidential Directives and Executive Orders ........................................................284
  E.2.3 Other EOP Guidance ............................................................................................292

E.3 OMB and Case Law Interpretations ..........................................................................293
APPENDIX A: GLOSSARY OF TERMS

Agency – Any executive department, military department, government corporation, government controlled corporation, or other establishment in the executive branch of the government (including the Executive Office of the President), or any independent regulatory agency, but does not include -
(i) the General Accounting Office;
(ii) Federal Election Commission;
(iii) the governments of the District of Columbia and of the territories and possessions of the United States, and their various subdivisions; or
(iv) Government-owned contractor-operated facilities, including laboratories engaged in national defense research and production activities.

Authentication – Security control designed to establish the validity of a transmission, message, or originator, or a means of verifying an individual's authorization to receive specific categories of information.

Authenticity – The property of being genuine and able to be verified and be trusted. See authentication.

Availability – Ensuring timely and reliable access to and use of information.

Classified Information – Information that has been determined pursuant to E.O. 13292 or any predecessor order to require protection against unauthorized disclosure and is marked to indicate its classified status when in documentary form.

Command and Control – The exercise of authority and direction by a properly designated commander over assigned and attached forces in the accomplishment of the mission. Command and control functions are performed through an arrangement of personnel, equipment, communications, facilities, and procedures employed by a commander in planning, directing, coordinating, and controlling forces and operations in the accomplishment of the mission.

Confidentiality – Preserving authorized restrictions on access and disclosure, including means for protecting personal privacy and proprietary information.
Counterintelligence – Information gathered and activities conducted to protect against espionage, other intelligence activities, sabotage, or assassinations conducted by or on behalf of foreign governments or elements thereof, foreign organizations, or foreign persons, or international terrorist activities.

Criticality – Refers to the incorrect behavior of a system. The more serious the expected direct and indirect effects of incorrect behavior, the higher the criticality level.

Cryptologic – Of or pertaining to cryptology.

Cryptology – The science that deals with hidden, disguised, or encrypted communications. It includes communications security and communications intelligence.

Executive Agency – An executive department specified in 5 U.S.C., Sec. 101; a military department specified in 5 U.S.C., Sec.102; an independent establishment as defined in 5 U.S.C., Sec. 104(1); or a wholly owned government corporation fully subject to the provisions of 31 U.S.C., Chapter 91.

Federal Information System – An information system used or operated by an executive agency, by a contractor of an executive agency, or by another organization on behalf of an executive agency.

Impact – The magnitude of harm that can be expected to result from the consequences of unauthorized disclosure of information, unauthorized modification of information, unauthorized destruction of information, or loss of information or information system availability.

Independent Regulatory Agency – The Board of Governors of the Federal Reserve System, the Commodity Futures Trading Commission, the Consumer Product Safety Commission, the Federal Communications Commission, the Federal Deposit Insurance Corporation, the Federal Energy Regulatory Commission, the Federal Housing Finance Board, the Federal Maritime Commission, the Federal Trade Commission, the Interstate Commerce Commission, the Mine Enforcement Safety and Health Review Commission, the National Labor Relations Board, the Nuclear Regulatory Commission, the Occupational Safety and Health Review Commission, the Postal Rate Commission, the Securities and Exchange Commission, and
any other similar agency designated by statute as a Federal independent regulatory agency or commission.

Individual – A citizen of the United States or an alien lawfully admitted for permanent residence. Agencies may, consistent with individual practice, choose to extend the protections of the Privacy Act and E-Government Act to businesses, sole proprietors, aliens, etc.

Information Resources – Information and related resources, such as personnel, equipment, funds, and information technology.

Information Security – Protecting information and information systems from unauthorized access, use, disclosure, disruption, modification, or destruction in order to provide integrity, confidentiality, and availability.

Information System – A discrete set of information resources organized for the collection, processing, maintenance, use, sharing, dissemination, or disposition of information.

Information Technology – With respect to an executive agency, any equipment or interconnected system or subsystem of equipment that is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission or reception of data or information by the executive agency. For purposes of the preceding sentence, equipment is used by an executive agency if the equipment is used by the executive agency directly or is used by a contractor under a contract with the executive agency which (i) requires the use of such equipment, or (ii) requires the use, to a significant extent, of such equipment in the performance of a service or the furnishing of a product. The term “information technology” includes computers, ancillary equipment, software, firmware and similar procedures, services (including support services), and related resources. The term “information technology” does not include any equipment that is acquired by a Federal contractor incidental to a Federal contract.

Integrity – Guarding against improper information modification or destruction, and includes ensuring information non-repudiation and authenticity.
Intelligence – (i) the product resulting from the collection, processing, integration, analysis, evaluation, and interpretation of available information concerning foreign countries or areas; or (ii) information and knowledge about an adversary obtained through observation, investigation, analysis, or understanding. The term 'intelligence' includes foreign intelligence and counterintelligence.

Intelligence Activities – The term 'intelligence activities' includes all activities that agencies within the Intelligence Community are authorized to conduct pursuant to Executive Order 12333, United States Intelligence Activities.

Intelligence Community – The term 'intelligence community' refers to the following agencies or organizations: (i) the Central Intelligence Agency (CIA); (ii) the National Security Agency (NSA); (iii) the Defense Intelligence Agency (DIA); (iv) the offices within the Department of Defense for the collection of specialized national foreign intelligence through reconnaissance programs; (v) the Bureau of Intelligence and Research of the Department of State; (vi) the intelligence elements of the Army, Navy, Air Force, and Marine Corps, the Federal Bureau of Investigation (FBI), the Department of the Treasury, and the Department of Energy; and (vii) the staff elements of the Director of Central Intelligence.

Mission Critical – Any telecommunications or information system that is defined as a national security system (FISMA) or processes any information the loss, misuse, disclosure, or unauthorized access to or modification of, would have a debilitating impact on the mission of an agency.

National Security System – Any information system (including any telecommunications system) used or operated by an agency or by a contractor on behalf of an agency, or any other organization on behalf of an agency – (i) the function, operation, or use of which: involves intelligence activities; involves cryptologic activities related to national security; involves command and control of military forces;
involves equipment that is an integral part of a weapon or weapon system; or is critical to the direct fulfillment of military or intelligence missions (excluding a system that is to be used for routine administrative and business applications, for example payroll, finance, logistics, and personnel management applications); or

(ii) is protected at all times by procedures established by an Executive order or an Act of Congress to be kept classified in the interest of national defense or foreign policy.

Non-repudiation – Assurance that the sender of information is provided with proof of delivery and the recipient is provided with proof of the sender’s identity, so neither can later legitimately deny having processed, stored, or transmitted the information.

Privacy Impact Assessment (PIA) – An OMB-manded analysis of how information is handled:

(i) to ensure handling conforms to applicable legal, regulatory, and policy requirements regarding privacy,

(ii) to determine the risks and effects of collecting, maintaining and disseminating information in identifiable form in an electronic information system, and

(iii) to examine and evaluate protections and alternative processes for handling information to mitigate potential privacy risks.

Public Information – Any information, regardless of form or format that an agency discloses, disseminates, or makes available to the public.

Risk – As used in this guideline, the term 'risk' means a combination of:

(i) the likelihood that a particular vulnerability in an agency information system will be either intentionally or unintentionally exploited by a particular threat resulting in a loss of confidentiality, integrity, or availability, and

(ii) the potential impact or magnitude of harm that a loss of confidentiality, integrity, or availability will have on agency operations (including mission, functions, and public confidence in the agency), an agency’s assets, or individuals (including privacy) should there be a threat exploitation of information system vulnerabilities.

Security Category – The characterization of information or an information system based on an assessment of the potential impact that a loss of confidentiality, integrity, or availability of such information or information system would have on an agency’s assets or
Security Controls – The management, operational, and technical controls (safeguards or countermeasures) prescribed for an information system which, taken together, satisfy the system’s specified security requirements and adequately protect the confidentiality, integrity, and availability of the system and its information.

Security Objectives – Confidentiality, integrity, and availability.

Sensitivity – Used in this guideline to mean a measure of the importance assigned to information by its owner, for the purpose of denoting its need for protection.

System – A generic term used for brevity to mean either a major application or a general support system (see NIST SP 800-18).

Telecommunications – The transmission, between or among points specified by the user, of information of the user's choosing, without change in the form or content of the information as sent and received.

Threat – Any circumstance or event with the potential to intentionally or unintentionally exploit a specific vulnerability in an information system resulting in a loss of confidentiality, integrity, or availability.

Vulnerability – A flaw or weakness in the design or implementation of an information system (including security procedures and security controls associated with the system) that could be intentionally or unintentionally exploited to adversely affect an agency’s operations (including missions, functions, and public confidence in the agency), an agency’s assets, or individuals (including privacy) through a loss of confidentiality, integrity, or availability.

Weapons System – A combination of one or more weapons with all related equipment, materials, services, personnel, and means of delivery and deployment (if applicable) required for self-sufficiency.
APPENDIX B: REFERENCES


APPENDIX C: MANAGEMENT AND SUPPORT INFORMATION AND INFORMATION SYSTEMS IMPACT LEVELS

Much Federal government information and many systems are not employed directly to provide services to citizens, but are primarily intended to provide administrative or business services that support mission accomplishment. Section 5, “Impact Levels by Type for Management and Support Information,” suggests a set of information types for management and support information and recommended provisional security categories. As stated in Section 5, the source used for the identification of information types is the Office of Management and Budget’s Federal Enterprise Architecture Program Management Office June 2003 publication, The Business Reference Model Version 2.0 (BRM).

Some of the management and support functions executed to support delivery of services or manage government resources are also executed by some agencies in delivering services to citizens. (See especially the “General Government” line of business.) Most of these information types could be included in Appendix D as mission-based information types. Because the BRM categorizes them as services delivery support functions, they are included in Section 5 and Appendix C. In order to reduce repetition, they are not repeated in Appendix D.

Appendix C.1, “Recommended Provisional Impact Levels for Management and Support Information Types,” documents impact levels for information types identified in Section 5. These are provisional levels, subject to review and modification by agency stakeholders. Provisional impact assignments are only the first step in impact assignment and are reviewed in the subsequent risk assessment processes. They are not designed to be used by auditors as a definitive checklist for information types and impact assignments.

Most information systems employed in both direct service and administrative/management support activities perform one or more of the service delivery support functions described in Appendix C.2, “Rationale and Factors for Services Delivery Support Information.” These service support functions are the day-to-day activities necessary to the organizations that provide services to the general population and administrative/management services to government departments and agencies responsible for the provision of those services. As in the case of administrative/business information and information systems, the security objectives and impacts are determined by the direct service missions and constituencies ultimately being supported. It is likely that all Federal government information systems store, process, and operate under the control of information technology (IT) infrastructure maintenance information (e.g., password files and file and network access settings). At least a basic set of security controls will apply to this set of information and processes in order to combat potential corruption, misuse, or abuse of system information and processes.

Information necessary to conduct administrative or business services that support mission accomplishment includes the government resource management information types described in Appendix C.3, “Rationale and Factors for Government Resource Management Information.” All
of the departments and agencies performing direct service functions are supported by information systems that perform the activities described in Appendix C.3. Many departments and agencies operate their own support systems. Others obtain at least some support services from other organizations. Some agencies’ missions are primarily to support other government departments and agencies in the conduct of direct service missions. As indicated above, security objectives and impacts for administrative and management information and systems are determined by the natures of the supported direct services and constituencies being supported.

Much of the discussion of factors affecting assignment of impact level is common to many information types. Because this guideline is intended as a reference document, and it is anticipated that most users will refer only to one or a few information types of interest, several common or similar observations appear with each information type to which they are appropriate. Some impact factors common to all information types are discussed in Section 3.5.

**C.1 Recommended Provisional Impact Levels for Management and Support Information Types**

Table 3 summarizes provisional impact level recommendations for administrative, management, and service information.

Provisional impact levels are recommended for each security objective (confidentiality, integrity, availability) for each management and support Federal government information type. The confidentiality, integrity, and assurance impact levels define the security category of each information type.

Most government information systems access, process, and/or disseminate more than one class of information. Security objectives and impacts associated with all of the types of information and processes served by the information system need to be considered in determining the system’s information security requirements.

Each information type may include one or more elements. For example, benefits management information includes employee identification information, benefit plan information for insurance and other products, cost information, claims and reimbursement policy information, claims procedures, etc.

In some cases, different impact levels are appropriate for different information elements. For example, elements of program monitoring information relating to remediation of information security vulnerabilities may have a different impact level than elements of program monitoring information relating to an office furniture upgrade.

Each agency that processes an information type may process a distinct combination of elements. The authority and responsibilities assigned to each agency that processes an information type can
affect the actual impact level associated with the information within the context of that agency’s operations.

In Table 3, the existence of exceptions to provisional impact assignments are flagged by displaying impact assignments in a gray font [gray font].

Appendixes C.2 and C.3 identify information elements and contexts that may result in variances from the basic impact level assignment. For example, some systems process information the compromise of which affect national security, critical infrastructures, or key national assets. Impacts associated with such systems are either outside the scope of this document (i.e., national security information) or may need to be adjusted upward based on the more severe consequences of compromises.

Many of the information types are also lifecycle-dependent. That is, information that requires protection at one stage in system development or operational use of the information is publicly accessible at a later stage or following some event. For example, information that has confidentiality attributes during the period that an agency is using it to make a decision may be public knowledge once the decision has been made (e.g., financial/budgetary information used during development of requests for proposals in procurement actions).
<table>
<thead>
<tr>
<th><strong>Controls and Oversight</strong></th>
<th>Used to ensure that the operations and programs of the Federal government and its external business partners comply with applicable laws and regulations and prevent waste, fraud, and abuse.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Corrective Action</strong></td>
<td>Supports the enforcement functions necessary to remedy programs that have been found non-compliant with a given law, regulation, or policy.</td>
</tr>
<tr>
<td><strong>Program Evaluation</strong></td>
<td>Supports the analysis of internal and external program effectiveness and the determination of corrective actions as appropriate.</td>
</tr>
<tr>
<td><strong>Program Monitoring</strong></td>
<td>Supports the data-gathering activities required to determine the effectiveness of internal and external programs and the extent to which they comply with applicable laws, regulations, and policies.</td>
</tr>
<tr>
<td><strong>Regulatory Development</strong></td>
<td>Supports activities associated with providing input to the lawmaking process in developing regulations, policies, and guidance to implement laws.</td>
</tr>
<tr>
<td><strong>Policy and Guidance Development</strong></td>
<td>Supports the creation and dissemination of guidelines to assist in the interpretation and implementation of regulations.</td>
</tr>
<tr>
<td><strong>Public Comment Tracking</strong></td>
<td>Supports the activities of soliciting, maintaining, and responding to public comments regarding proposed regulations.</td>
</tr>
<tr>
<td><strong>Regulatory Creation</strong></td>
<td>Supports the activities of researching and drafting proposed and final regulations.</td>
</tr>
<tr>
<td><strong>Rule Publication</strong></td>
<td>Supports all the activities associated with the publication of a proposed or final rule in the Federal Register and Code of Federal</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Confidentiality</th>
<th>Integrity</th>
<th>Availability</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Low</td>
</tr>
<tr>
<td>Low</td>
<td></td>
<td>Low</td>
</tr>
<tr>
<td>Low</td>
<td></td>
<td>Low</td>
</tr>
<tr>
<td>Low</td>
<td></td>
<td>Low</td>
</tr>
<tr>
<td>Low</td>
<td></td>
<td>Low</td>
</tr>
<tr>
<td>Low</td>
<td></td>
<td>Low</td>
</tr>
<tr>
<td>Low</td>
<td></td>
<td>Low</td>
</tr>
<tr>
<td>Low</td>
<td></td>
<td>Low</td>
</tr>
<tr>
<td>Low</td>
<td></td>
<td>Low</td>
</tr>
</tbody>
</table>

Table 3: Type-based Impacts for Federal Information and Information Systems

Security Categorization of Service Delivery Support Information
<table>
<thead>
<tr>
<th>Services</th>
<th>Description</th>
<th>Confidentiality</th>
<th>Integrity</th>
<th>Availability</th>
</tr>
</thead>
<tbody>
<tr>
<td>Planning and Resource Allocation</td>
<td>Supports the activities of determining strategic direction, identifying and establishing programs and processes to enable change, and allocating resources among those programs and processes.</td>
<td>Confidentiality</td>
<td>Integrity</td>
<td>Availability</td>
</tr>
<tr>
<td>Budget Formulation</td>
<td>Supports all activities undertaken to determine priorities for future spending and to develop an itemized forecast of future funding and expenditures during a targeted period of time.</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Capital Planning</td>
<td>Supports the processes for ensuring that appropriate investments are selected for capital expenditures.</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Enterprise Architecture</td>
<td>Supports an established process for describing the current state and defining the target state and transition strategy for an organizations people, processes, and technology.</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Strategic Planning</td>
<td>Supports the determination of long-term goals and the identification of the best approach for achieving those goals.</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Budget Execution</td>
<td>Supports the day-to-day requisitions and obligations for agency expenditures, invoices, billing dispute resolution, reconciliation, service level agreements, and distributions of shared expenses.</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Workforce Planning</td>
<td>Supports the processes for identifying the workforce competencies required to meet the agency’s strategic goals and for developing the strategies to meet these requirements.</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Management Improvement</td>
<td>Supports all efforts to gauge the ongoing efficiency of business processes and identify opportunities for reengineering or restructuring.</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
</tbody>
</table>
### Security Categorization of Service Delivery Support Information

<table>
<thead>
<tr>
<th>Service Delivery Support Information</th>
<th>Confidentiality</th>
<th>Integrity</th>
<th>Availability</th>
</tr>
</thead>
<tbody>
<tr>
<td>Internal Risk Management and Mitigation</td>
<td>Supports all activities relating to the processes of analyzing exposure to risk and determining appropriate counter-measures.</td>
<td>Moderate</td>
<td>Moderate</td>
</tr>
<tr>
<td>Contingency Planning</td>
<td>Supports the actions required to plan for, respond to, and mitigate damaging events.</td>
<td>Moderate</td>
<td>Moderate</td>
</tr>
<tr>
<td>Continuity of Operations</td>
<td>Supports the activities associated with the identification of critical systems and processes, and the planning and preparation required to ensure that these systems and processes will be available in the event of a catastrophic event.</td>
<td>Moderate</td>
<td>Moderate</td>
</tr>
<tr>
<td>Service Recovery</td>
<td>Supports the internal actions necessary to develop a plan for resuming operations after a catastrophe occurs, such as a fire or earthquake.</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Revenue Collection</td>
<td>Collection of Government income from all sources.</td>
<td>Moderate</td>
<td>Low</td>
</tr>
<tr>
<td>Debt Collection</td>
<td>Supports activities associated with the collection of money owed to the United States government from both foreign and domestic sources.</td>
<td>Moderate</td>
<td>Low</td>
</tr>
<tr>
<td>User Fee Collection</td>
<td>Supports the collection of fees assessed on individuals or organizations for the provision of Government services and for the use of Government goods or resources.</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Federal Asset Sales</td>
<td>Supports the activities associated with the acquisition, oversight, tracking, and sale of non-internal assets managed by the Federal Government with a commercial value and sold to the private sector.</td>
<td>Low</td>
<td>Moderate</td>
</tr>
<tr>
<td>Public Affairs</td>
<td>Supports activities involving the exchange of information and communication between the Federal government, citizens and stakeholders in</td>
<td>Moderate</td>
<td>Moderate</td>
</tr>
</tbody>
</table>
## Security Categorization of Service Delivery Support Information

<table>
<thead>
<tr>
<th>Service Delivery Support</th>
<th>Confidentiality</th>
<th>Integrity</th>
<th>Availability</th>
</tr>
</thead>
</table>
| **Direct Support of Citizen Services, Public Policy, and/or National Interest.**
| **Customer Services** | Low | Low | Low |
| **Official Information Dissemination** | Low | Low | Low |
| **Product Outreach** | Low | Low | Low |
| **Public Relations** | Low | Low | Low |
| **Legislative Relations** | Low | Low | Low |
| **Legislation Tracking** | Low | Low | Low |
| **Legislation Testimony** | Low | Low | Low |
| **Proposal Development** | Moderate | Low | Low |
### Security Categorization of Service Delivery Support Information

<table>
<thead>
<tr>
<th>Service Category</th>
<th>Description</th>
<th>Confidentiality</th>
<th>Integrity</th>
<th>Availability</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Congressional Liaison</strong></td>
<td>Supports all activities associated with supporting the formal relationship between a Federal Agency and the U.S. Congress.</td>
<td>Moderate</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td><strong>General Government</strong></td>
<td>Supports the general overhead costs of the Federal government, including legislative and executive activities; provision of central fiscal, personnel, and property activities; and the provision of services that cannot reasonably be classified in any other service support area.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Central Fiscal Operations</strong></td>
<td>Supports the fiscal operations performed by designated organization(s) on behalf of the Government.</td>
<td>Moderate</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td><strong>Legislative Functions</strong></td>
<td>Supports the service support activities associated with costs of the Legislative Branch other than the Tax Court, the Library of Congress, and the Government Printing Office revolving fund.</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td><strong>Executive Functions</strong></td>
<td>Supports the operations of the executive office.</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td><strong>Central Property Management</strong></td>
<td>Supports most of the operations of the General Services Administration.</td>
<td>Low(^4)</td>
<td>Low(^5)</td>
<td>Low(^3)</td>
</tr>
<tr>
<td><strong>Central Personnel Management</strong></td>
<td>Supports most of the operating activities of the Office of Personnel Management and related agencies.</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td><strong>Taxation Management</strong></td>
<td>Supports activities associated with the implementation of the Internal Revenue Code and the collection of taxes in the United States and abroad.</td>
<td>Moderate</td>
<td>Low</td>
<td>Low</td>
</tr>
</tbody>
</table>

---

2 Tax-related functions are associated with the Taxation Management information type.

3 The OMB Business Reference Model “Executive Function has been expanded to include general agency executive functions as well as Executive Office of the President (EOP) functions. Strictly EOP executive functions are treated in Appendix D, Examples of Impact Determination for Mission-Based Information and Information Systems.

4 High where safety of major critical infrastructure components or key national assets is at stake.

5 Moderate or High in emergency situations where time-critical processes affecting human safety or major assets are involved.
## Security Categorization of Service Delivery Support Information

<table>
<thead>
<tr>
<th>Central Records and Statistics Management</th>
<th>Supports the operations surrounding the management of official documents, statistics, and records for the entire Federal government.</th>
<th>Confidentiality</th>
<th>Integrity</th>
<th>Availability</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Moderate</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Income Information</td>
<td>Supports all the wages, self employment earnings, savings type data and other financial resources information that is needed to help determine the amount of Retirement, Survivor, or Disability benefits that individuals may be entitled to receive or not receive from the Supplementary Security Income or RSDI Title II Programs.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Moderate</td>
<td>Moderate</td>
<td>Moderate</td>
</tr>
<tr>
<td>Personal Identity and Authentication</td>
<td>Information necessary to ensure that all persons who are potentially entitled to receive any federal benefit are enumerated and identified so that Federal agencies can have reasonable assurance that they are paying or communicating with the right individuals.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Moderate</td>
<td>Moderate</td>
<td>Moderate</td>
</tr>
<tr>
<td>Entitlement Event Information</td>
<td>Information about events such as death and date of occurrence, date of a disabling event and the relating data that can reasonably prove the severity of such disability, proof of age for retirement benefits, birth and relationship of spouse and/or children who may be entitled to benefits only as auxiliaries of the primary beneficiary, and other related information needed to process a claim for benefits.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Moderate</td>
<td>Moderate</td>
<td>Moderate</td>
</tr>
<tr>
<td>Representative Payee Information</td>
<td>Information required to determine the need for representative payees and the data that is gathered to make the determination of who should serve as the representative payee for all beneficiaries of federal benefits who are unable to manage their own funds.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Moderate</td>
<td>Moderate</td>
<td>Moderate</td>
</tr>
</tbody>
</table>
## Security Categorization of Service Delivery Support Information

<table>
<thead>
<tr>
<th>Administrative Management</th>
<th>Supports the day-to-day management and maintenance of the internal infrastructure.</th>
<th>Confidentiality</th>
<th>Integrity</th>
<th>Availability</th>
</tr>
</thead>
<tbody>
<tr>
<td>Facilities, Fleet, and Equipment Management</td>
<td>Supports the maintenance, administration, and operation of offices buildings, fleets, machinery, and other capital assets considered as possessions of the Federal government.</td>
<td>Low&lt;sup&gt;4&lt;/sup&gt;</td>
<td>Low&lt;sup&gt;5&lt;/sup&gt;</td>
<td>Low&lt;sup&gt;5&lt;/sup&gt;</td>
</tr>
<tr>
<td>Help Desk Services</td>
<td>Supports the management of a service center to respond to government employees' technical and administrative questions.</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Security Management</td>
<td>Supports the physical protection of an organization's personnel, assets, and facilities.</td>
<td>Moderate</td>
<td>Moderate</td>
<td>Low</td>
</tr>
<tr>
<td>Travel</td>
<td>Supports the activities associated with planning, preparing, and monitoring of business related travel for an organization's employees.</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Workplace Policy Development and Management</td>
<td>Supports all activities required to develop and disseminate workplace policies such as dress codes, time reporting requirements, telecommuting, etc.</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Financial Management</td>
<td>Supports the aggregate set of accounting practices and procedures that allow for the accurate, efficient, transparent, and effective handling of all government revenues, funding, and expenditures.</td>
<td>Moderate</td>
<td>Moderate</td>
<td>Low</td>
</tr>
<tr>
<td>Asset &amp; Liability Management</td>
<td>Provides accounting support for the management of assets and liabilities of the Federal government.</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Reporting &amp; Information</td>
<td>Provides financial information, reporting and analysis of financial transactions.</td>
<td>Low</td>
<td>Moderate</td>
<td>Low</td>
</tr>
<tr>
<td>Budget &amp; Finance</td>
<td>Supports the management of the Federal budget process including the development of plans and programs, budgets, and performance outputs and outcomes as well as financing Federal programs and operations through</td>
<td>Moderate</td>
<td>Moderate</td>
<td>Low</td>
</tr>
</tbody>
</table>
### Security Categorization of Service Delivery Support Information

<table>
<thead>
<tr>
<th>Service Delivery Support</th>
<th>Confidentiality</th>
<th>Integrity</th>
<th>Availability</th>
</tr>
</thead>
<tbody>
<tr>
<td>Appropriation and</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>apportionment of direct</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>and reimbursable</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>spending authority, fund</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>transfers, investments</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>and other financing</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>mechanisms.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Accounting</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Supports accounting for</td>
<td>Low</td>
<td>Moderate</td>
<td>Low</td>
</tr>
<tr>
<td>assets, liabilities, fund</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>balances, revenues</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>and expenses associated</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>with the maintenance</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>of Federal funds and</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>expenditure of Federal</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>appropriations (Salaries</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>and Expenses, Operation</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>and Maintenance,</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Procurement, Working</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Capital, Trust Funds,</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>etc.), in accordance with</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>applicable Federal</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>standards.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Payments</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Supports disbursements of</td>
<td>Low</td>
<td>Moderate</td>
<td>Low</td>
</tr>
<tr>
<td>Federal funds, via a</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>variety of mechanisms, to</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Federal and private</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>individuals, Federal</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>agencies, state, local</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>and international</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Governments, and the</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>private sector, to effect</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>payment for goods and</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>services, or distribute</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>entitlements, benefits,</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>grants, subsidies, loans,</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>or claims.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Collections and Receivables</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Includes deposits, fund</td>
<td>Low</td>
<td>Moderate</td>
<td>Low</td>
</tr>
<tr>
<td>transfers, and receipts</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>for sales or service.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Human Resources</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Supports all activities</td>
<td>Low</td>
<td>Moderate</td>
<td>Low</td>
</tr>
<tr>
<td>associated with the</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>recruitment and</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>management of personnel.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Benefits Management</td>
<td></td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Supports the administration of entitled benefits for federal personnel such as retirement, medical, disability, and insurance.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Personnel Management</td>
<td></td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Supports the general management of the federal workforce, including functions such as personnel action processing, employee tracking, position classification and management, discipline/grievance, advancement and awards, and labor relations.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Service Area</td>
<td>Description</td>
<td>Confidentiality</td>
<td>Integrity</td>
</tr>
<tr>
<td>--------------------------------------</td>
<td>-----------------------------------------------------------------------------</td>
<td>-----------------</td>
<td>-----------</td>
</tr>
<tr>
<td>Payroll Management and Expense</td>
<td>Supports the administration and determination of federal employee compensation.</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Reimbursement</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Resource Training and Development</td>
<td>Supports the active building of capacities in staff members through formal education, technical training, or other means of education.</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Security Clearance Management</td>
<td>Supports the processes associated with ensuring employees, contractors, and others have been approved to enter Federal buildings, utilize Federal services, and access sensitive information.</td>
<td>Low</td>
<td>Moderate</td>
</tr>
<tr>
<td>Staff Recruitment and Employment</td>
<td>Supports the active marketing and hiring of personnel to fill opportunities and vacancies within an organization.</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Supply Chain Management</td>
<td>Supports the purchasing, tracking, and overall management of goods and services.</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Goods Acquisition</td>
<td>Supports the procurement of physical goods, products, and capital assets to be used by the Federal government.</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Inventory Control</td>
<td>Supports the tracking of information related to procured assets and resources with regards to quantity, quality, and location.</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Logistics Management</td>
<td>Supports the planning and tracking of personnel and their resources in relation to their availability and location.</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Services Acquisition</td>
<td>Supports the oversight and/or management of contractors and service providers from the private sector.</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Information &amp; Technology Management</td>
<td>Supports the coordination of information technology (IT) resources and systems required to support or enable a citizen service.</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>System Development</td>
<td>Supports all activities associated with the in-house design and development of software applications.</td>
<td>Low</td>
<td>Moderate</td>
</tr>
</tbody>
</table>
## Security Categorization of Service Delivery Support Information

<table>
<thead>
<tr>
<th>Service Category</th>
<th>Description</th>
<th>Confidentiality</th>
<th>Integrity</th>
<th>Availability</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lifecycle/Change Management</td>
<td>Supports the processes that facilitate a smooth evolution, composition, and workforce transition of the design and implementation of changes to agency resources such as assets, methodologies, systems, or procedures.</td>
<td>Low</td>
<td>Moderate</td>
<td>Low</td>
</tr>
<tr>
<td>System Maintenance</td>
<td>Supports all activities associated with the maintenance of in-house designed software applications.</td>
<td>Low</td>
<td>Moderate</td>
<td>Low</td>
</tr>
<tr>
<td>IT Infrastructure Maintenance</td>
<td>Supports the planning, design, implementation, and maintenance of an IT Infrastructure to effectively support automated needs.</td>
<td>System High</td>
<td>Moderate</td>
<td>Low</td>
</tr>
<tr>
<td>IT Security</td>
<td>Supports all functions pertaining to the securing of Federal data and systems through the creation and definition of security policies, procedures and controls.</td>
<td>Low</td>
<td>Moderate</td>
<td>Low</td>
</tr>
<tr>
<td>Record Retention</td>
<td>Supports the operations surrounding the management of the official documents and records for an agency.</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Information Management</td>
<td>Supports the coordination of information collection, storage, and dissemination, and destruction as well as managing the policies, guidelines, and standards regarding information management.</td>
<td>System High</td>
<td>Moderate</td>
<td>Low</td>
</tr>
</tbody>
</table>
C.2 Rationale and Factors for Services Delivery Support Information

Services delivery support functions provide the critical policy, programmatic, and managerial foundation to support Federal government operations. Security objectives and impact levels for service delivery support information and systems are generally determined by the natures of the supported direct services and constituencies being supported. If a system stores, processes, or communicates national security information, it is defined as a national security system, and is outside the scope of this guideline. Service delivery support activities are defined in this section.

C.2.1 Controls and Oversight

Controls and Oversight information is used to ensure that the operations and programs of the Federal government and its external business partners comply with applicable laws and regulations and prevent waste, fraud, and abuse.

C.2.1.1 Corrective Action Information Type

Corrective Action involves the enforcement functions necessary to remedy programs that have been found non-compliant with a given law, regulation, or policy. The recommended security categorization for the corrective action information type is as follows:

Security Category = {(confidentiality, Low), (integrity, Low), (availability, Low)}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of corrective action information on the ability of responsible agencies to remedy internal or external programs that have been found non-compliant with a given law, regulation, or policy. Unauthorized disclosure of most corrective action information should have only a limited adverse effect on agency operations, assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: Where more sensitive information is involved, it will probably be personal information subject to the Privacy Act of 1974 or information that is proprietary to a corporation or other organization. Such information will often be assigned a moderate confidentiality impact level. The Privacy Act Information provisional

---

6 A national security system is any information system (including any telecommunications system) used or operated by an agency or by a contractor on behalf of an agency, or any other organization on behalf of an agency – (i) the function, operation, or use of which: involves intelligence activities; involves cryptologic activities related to national security; involves command and control of military forces; involves equipment that is an integral part of a weapon or weapon system; or is critical to the direct fulfillment of military or intelligence missions (excluding a routine administrative or business applications system used for applications such as payroll, finance, logistics, and personnel management); or (ii) that processes classified information.
impact levels are documented in the Personal Identity and Authentication information type. Additionally, there are legislative mandates prohibiting unauthorized disclosure of trade secrets. Trade secrets will generally be assigned a moderate confidentiality impact level.

**Recommended Confidentiality Impact Level:** The provisional confidentiality impact level recommended for corrective action information is **low**.

**Integrity**

The consequences of undetected unauthorized modification or destruction of corrective action information can conceivably compromise the effectiveness of compliance enforcement actions (e.g., by providing violators with a basis for claiming investigative or enforcement irregularities, thus supporting legal challenges to proposed corrective actions). The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. Unauthorized modification or destruction of most corrective action information should have only a limited adverse effect on agency operations, assets, or individuals.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for corrective action information is **low**.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the corrective action information. The availability impact is also dependent on whether the data is time-critical. In most cases, disruption of access to corrective action information can be expected to have only a limited adverse effect on agency operations, agency assets, or individuals.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for corrective action information is **low**.

**C.2.1.2 Program Evaluation Information Type**

Program Evaluation involves the analysis of internal and external program effectiveness and the determination of corrective actions as appropriate. The impact levels should be commensurate with the impact levels of the program that is being evaluated. For example, if the program contains very sensitive financial data with moderate impact levels for confidentiality and integrity, the program evaluation impact levels for confidentiality and integrity should also be moderate. The recommended security categorization for the program evaluation information type is as follows:

Security Category = {(confidentiality, Low), (integrity, Low), (availability, Low)}
Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of program evaluation information on the abilities of responsible agencies to analyze internal and external program effectiveness and to determine appropriate corrective actions. The confidentiality impact of program evaluation information is largely event-driven. Once the evaluation has been reported, most program evaluation information is in the public domain. However, premature unauthorized disclosure of program evaluation information can alert personnel associated with programs under evaluation to the focus and preliminary findings of investigative and evaluation activities.

Special Factors Affecting Confidentiality Impact Determination: Where a major programs or human safety is at stake, actions taken based on unauthorized disclosure of program evaluation information can pose a threat to human life or a loss of major assets. In such cases, the confidentiality impact is high. Unauthorized disclosure of most program evaluation information often has the potential to seriously affect agency operations. Also, some program evaluation information, particularly in the case of current investigations, includes personal information subject to the Privacy Act of 1974 and/or information that is proprietary to a corporation or other organization. The Privacy Act Information provisional impact levels are documented in the Personal Identity and Authentication information type. Additionally, there are legislative mandates prohibiting unauthorized disclosure of trade secrets. Trade secrets will generally be assigned a moderate confidentiality impact level. If the program evaluation information is moved to the public domain, the confidentiality impact level becomes Not Applicable (NA).

Recommended Confidentiality Impact Level: Because there are many cases in which unauthorized disclosure of program evaluation information will have only a limited adverse effect on agency operations, assets, or individuals, the provisional confidentiality impact level recommended for program evaluation information is low.

Integrity

The consequences of undetected unauthorized modification or destruction of program evaluation information can compromise the effectiveness of an evaluation program (e.g., by providing false information intended to mislead investigators or evaluators or to give program personnel a basis for claiming investigative or evaluative irregularities). The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. Although there are time-sensitive exceptions, unauthorized modification or destruction of most program evaluation information should have only a limited adverse effect on agency operations, assets, or individuals.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for program evaluation information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the program evaluation information.
Although there are time-sensitive exceptions, most program evaluation processes are tolerant of reasonable delays. In most cases, disruption of access to program evaluation information can be expected to have only a limited adverse effect on agency operations, agency assets, or individuals.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for program evaluation information is *low*.

### C.2.1.3 Program Monitoring Information Type

Program Monitoring involves the data-gathering activities required to determine the effectiveness of internal and external programs and the extent to which they comply with related laws, regulations, and policies. The impact levels should be commensurate with the impact levels of the programs that are being monitored. For example, if a program contains very sensitive financial data with moderate impact levels for confidentiality and integrity, the program monitoring impact levels for confidentiality and integrity should also be moderate. Subject to exception conditions described below, the recommended security categorization for the program monitoring information type is as follows:

\[
\text{Security Category} = \{(\text{confidentiality, Low}), (\text{integrity, Low}), (\text{availability, Low})\}
\]

**Confidentiality**

The confidentiality impact level is the effect of unauthorized disclosure of program monitoring information on the ability of responsible agencies to perform data-gathering activities required to determine the effectiveness of internal and external programs and the extent to which they comply with related laws, regulations, and policies.

**Special Factors Affecting Confidentiality Impact Determination:** There are legislative mandates prohibiting unauthorized disclosure of trade secrets. Trade secrets will generally be assigned a *moderate* confidentiality impact level. Note that *national security information* and *national security systems* are outside the scope of this guideline. Otherwise, where the data being collected belongs to one of the information types described in this guideline, the confidentiality impact assigned the data and system is that of the highest impact information type collected. Unauthorized disclosure of program monitoring information can alert personnel associated with programs being monitored to the focus and implications of monitoring activities. Where a major program or human safety is at stake, actions taken based on unauthorized disclosure of program monitoring information can pose a threat to human life or a loss of major assets. In such cases, the confidentiality impact is *high*. If the program monitoring information is moved to the public domain, the confidentiality impact level becomes Not Applicable (NA).

**Recommended Confidentiality Impact Level:** Although there are many circumstances in which serious adverse effects on agency operations, agency assets, or individuals can result to justify a *moderate* base confidentiality impact level for program monitoring information, in most Federal environments, unauthorized disclosure will have only a limited adverse effect on agency
operations, assets, or individuals. Consequently, for most systems, a low provisional confidentiality impact level is recommended for program monitoring information.

**Integrity**

The consequences of unauthorized modification or destruction of program monitoring information can compromise the effectiveness of the monitoring program. Although there may be time-sensitive program monitoring situations, the integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The damage likely to be caused by unauthorized modification or destruction of program monitoring information may have consequent serious adverse effects on agency operations or public confidence in the agency.

Special Factors Affecting Integrity Impact Determination: The consequences can be particularly serious if the destruction or modification of monitoring information invalidates evaluation results concerning major programs or concerning threats to human safety. The integrity impact resulting from unauthorized modification or deletion of program monitoring information depends in part on the nature of the laws or policies with which compliance is being determined and in part on the criticality of the processes being monitored. For example, in the case of safety regulations affecting manned space flight, the integrity impact level may be high.

Recommended Integrity Impact Level: There are some regulatory environments in which a high or moderate impact level is appropriate. For most compliance monitoring information, the recommended provisional integrity impact level is low.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the program monitoring information. Although there may be time-sensitive program monitoring situations, more typically, disruption of access to program monitoring information will have only a limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Availability Impact Determination: There are a limited number of compliance monitoring operations for which temporary loss of availability is likely to significantly degrade mission capability, place the agency at a significant disadvantage, result in loss of major assets, or pose a threat to human life. This can result in assignment of a moderate impact level to such information.

Recommended Availability Impact Level: The provisional availability impact level recommended for program monitoring information is low.

**C.2.2 Regulatory Development**

Regulatory Development involves activities associated with providing input to the lawmaking process in developing regulations, policies, and guidance to implement laws.
C.2.2.1 Policy and Guidance Development Information Type

Policy and Guidance Development involves the creation and dissemination of guidelines to assist in the interpretation and implementation of regulations. In most cases, the effect on public welfare of a loss of policy and guidance development mission capability can be expected to be delayed rather than immediate. As a result, the potential for consequent loss of human life or of major national assets is relatively low, since these most catastrophic consequences of impairment to mission capability can, in most cases, be corrected before they are fully realized. The recommended security categorization for the policy and guidance development information type is as follows:

Security Category = {(<confidentiality, Low), (integrity, Low), (availability, Low)}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of policy and guidance information on the ability of responsible agencies to create and disseminate guidelines to assist in the interpretation and implementation of regulations. The confidentiality impact of policy and guidance information is largely event-driven. Once a policy or guidance statement has been promulgated, most policy and guidance information is in the public domain. However, premature unauthorized disclosure of candidate policy and guidance material can result in disruption of (and inappropriate influence of special interests on) the policy development process.

Special Factors Affecting Confidentiality Impact Determination: The effects of loss of confidentiality of guidelines during the formative stage can result in attempts by affected entities and other interested parties to influence and/or impede the policy and guideline development process. Premature public release of formative policies and guidelines before internal coordination and review can result in unnecessary damage to public confidence in the agency. This is particularly likely where the release includes unedited internal commentary and discussion. Delays can impair an agency’s mission, but loss of public confidence can do serious and persistent harm to an agency’s ability to effectively perform its mission. In such cases, the provisional confidentiality impact level recommended for policy and guidance development information is moderate. When the policy and guidance information is in the public domain, the confidentiality impact level becomes Not Applicable (NA).

Recommended Confidentiality Impact Level: Although there are cases in which unauthorized and premature disclosure of policy and guidance information can result in serious consequences for an agency, most of this information is intended to be available to the general public. Consequently, the provisional confidentiality impact level recommended for policy and guidance development information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information.
Special Factors Affecting Integrity Impact Determination: Some policy and guidance information is time-critical. Unauthorized modification or destruction of information affecting external communications that contain policy and guidance development information (e.g., web pages, electronic mail) may adversely affect operations or public confidence in the agency, but the damage to the mission would usually be limited. Public confidence consequences can be expected to be much more serious in cases of agencies that have national defense, intelligence, or information security missions. In such cases, the impact may be at least moderate.

Recommended Integrity Impact Level: The provisional integrity level recommended for policy and guidance development information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the policy and guidance development information. Though some policy and guidance information is time-critical, the policy and guidance development process is usually tolerant of delays.

Recommended Availability Impact Level: the provisional availability impact level recommended for policy and guidance development information is low.

C.2.2.2 Public Comment Tracking Information Type

Public Comment Tracking involves the activities of soliciting, maintaining, and responding to public comments regarding proposed regulations. Subject to exception conditions described below, the recommended security categorization for the public comment tracking information type is as follows:

Security Category = {confidentiality, Low}, (integrity, Low), (availability, Low)}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of public comment tracking information on the ability of responsible agencies to solicit, maintain, and respond to public comments regarding proposed regulations. The effects of loss of confidentiality of information associated with the public comment process is unlikely to pose the threat of serious harm to agency assets, personnel or operations.

In a few cases, the rationale for public comments can include information that is sensitive in terms of proprietary information sensitive Federal government information, or even national security information. However, such cases are exceptional and the information in question would be expected to be representative of information types covered elsewhere in this guideline.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for public comment tracking information is low.
Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information.

Unauthorized modification or destruction of information affecting external communications that contain public comment tracking information (e.g., web pages, electronic mail) may adversely affect operations or public confidence in the agency, but the damage to the mission would usually be limited.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for public comment tracking information is *low*.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the public comment tracking information. The effects of disruption of access to public comment tracking information or information systems can delay development of standards, guidelines, or regulations.

The public comment tracking process is usually tolerant of delays. Permanent loss of comment information may disrupt some government operations by showing a lack of due diligence in response to comments.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for public comment tracking information is *low*.

### C.2.2.3 Regulatory Creation Information Type

Regulatory Creation involves the activities of researching and drafting proposed and final regulations. Subject to exception conditions described below, the recommended security categorization for the regulatory creation information type is as follows:

\[
\text{Security Category} = \{(\text{confidentiality, Low}), (\text{integrity, Low}), (\text{availability, Low})\}
\]

Confidentiality

The level of confidentiality impact level is the effect of unauthorized disclosure of regulatory creation information on the ability of responsible agencies to research and draft proposed and final regulations. The effects of loss of confidentiality of early drafts of regulations can result in attempts by affected entities and other affected parties to influence and/or impede the regulation development process.

**Special Factors Affecting Confidentiality Impact Determination:** Premature public release of draft regulations before internal coordination and review has been conducted can result in unnecessary criticism of the proposed regulation and even damage public confidence in the agency. In such cases, the provisional confidentiality impact level recommended for regulatory creation
information is moderate. These consequences are particularly likely where the release includes unedited internal commentary and discussion. Delays can impair an agency’s mission, but loss of public confidence can do serious and persistent harm to an agency’s ability to effectively perform its mission. If the regulatory information is moved to the public domain, the confidentiality impact level becomes Not Applicable (NA).

**Recommended Confidentiality Impact Level:** Because most regulatory information is intended for release to the public, the provisional confidentiality impact level recommended for regulatory creation information is **low**.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information.

**Special Factors Affecting Integrity Impact Determination:** Unauthorized modification or destruction of information affecting external communications that contain regulatory information (e.g., web pages, electronic mail) may adversely affect operations or public confidence in the agency. The consequences of a reduction in public confidence will be more serious for agencies that have national defense, intelligence, or information security missions. In such cases, the impact level may be at least moderate.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for regulatory creation information is **low**.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the regulatory creation information. The regulatory creation process is usually tolerant of delays.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for regulatory creation information is **low**.

**C.2.2.4 Rule Publication Information Type**

Rule Publication includes all activities associated with the publication of a proposed or final rule in the Federal Register and Code of Federal Regulations. Subject to exception conditions described below, the recommended security categorization for the rule publication information type is as follows:

**Security Category = \{(confidentiality, Low), (integrity, Low), (availability, Low)\}**

**Confidentiality**

The confidentiality impact level is the effect of unauthorized disclosure of rule publication information on the ability of responsible agencies to publish proposed or final rules in the
Federal Register and Code of Federal Regulations. The published rules are, by definition, public information.

The effects of loss of confidentiality of information associated with the rule publication process is unlikely to pose the threat of serious harm to agency assets, personnel or operations.

**Recommended Confidentiality Impact Level:** In general, the provisional confidentiality impact level recommended for rule publication information is *low*.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information.

In the worst cases, *errata* can be published. Unauthorized modification or destruction of information may result in unnecessary expenditures, some confusion, and limited damage to public confidence in the agency.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for rule publication information is *low*.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the rule publication information.

Rule publication processes are usually tolerant of delays.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for rule publication information is *low*.

**C.2.3 Planning and Resource Allocation**

Planning and Resource Allocation involves the activities of determining strategic direction, identifying and establishing programs and processes to enable change, and allocating resources (capital and labor) among those programs and processes.

**C.2.3.1 Budget Formulation Information Type**

Budget Formulation involves all activities undertaken to determine priorities for future spending and to develop an itemized forecast of future funding and expenditures during a targeted period of time. This includes the collection and use of performance information to assess the effectiveness of programs and develop budget priorities. Subject to exception conditions described below, the recommended security categorization for the budget formulation information type is as follows:
Security Category = \{(\text{confidentiality, Low}), (\text{integrity, Low}), (\text{availability, Low})\}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of budget formulation information on the ability of responsible agencies to determine priorities for future spending and to develop an itemized forecast of future funding and expenditures during a targeted period of time. Most budget information is supposed to be available to the public.

Special Factors Affecting Confidentiality Impact Determination: Some budget information is classified \textit{national security information} and is outside the scope of this guideline. The effects of loss of confidentiality of budget information or of early drafts of budgets can result in attempts by competing interests to influence and/or impede the regulation development process. The consequences to agency programs and even of the ability of an agency to perform its mission can be very serious. Premature public release of draft budgets before internal coordination and review has been conducted can result in unnecessary criticism of the proposed regulation and even damage public confidence in the agency. These consequences are particularly likely where the release includes unedited internal commentary and discussion. Delays that result from confidentiality compromise can imperil specific agency programs, but loss of public confidence can do persistent harm to an agency’s ability to effectively perform its mission. In such cases, the confidentiality impact level for budget formulation information is \textit{moderate}. If the budget formulation information is moved to the public domain, the confidentiality impact level becomes Not Applicable (NA).

Recommended Confidentiality Impact Level: In spite of the serious harm that can be suffered by an agency due to unauthorized and premature disclosure of draft budget information (and associated commentary), the provisional confidentiality impact level recommended for budget formulation information is \textit{low}.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information.

Special Factors Affecting Integrity Impact Determination: Some budget formulation information is time-critical. Also, unauthorized modification or destruction of information affecting external communications that contain budget information (e.g., web pages, electronic mail) may adversely affect operations or public confidence in the agency, but the damage to the mission would usually be limited. Public confidence consequences will be more serious for agencies that have national defense, intelligence, or information security missions. In such cases, the impact may be at least \textit{moderate}.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for budget formulation information is \textit{low}. 
Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the budget formulation information.

Although some budget formulation information is time-critical, the budget formulation processes are usually tolerant of delays. Excessive recovery delays may result in loss of funding.

Recommended Availability Impact Level: The provisional availability impact level recommended for budget formulation information is low.

C.2.3.2 Capital Planning Information Type

Capital Planning involves the processes for ensuring that appropriate investments are selected for capital expenditures. The recommended provisional security categorization for capital planning information is as follows:

Security Category = \{(confidentiality, Low), (integrity, Low), (availability, Low)\}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of capital planning information on the ability of responsible agencies to ensure that appropriate investments are selected for capital expenditures. The effects of loss of confidentiality of capital investment plans during the formative stage can result in attempts by affected entities and other interested parties to influence and/or impede the policy and guideline development process. Premature public release of draft plans before internal coordination and review can result in unnecessary damage to public confidence in the agency. This is particularly likely where the release includes unedited internal commentary and discussion. The diversion of investment funds that can result from compromise of draft plans can pervert investment priorities in a manner that is prejudicial to public interest. However, the consequence of loss of confidentiality of most capital planning information is likely to do only limited harm to government assets, personnel, or missions.

Special Factors Affecting Confidentiality Impact Determination: Unauthorized disclosure of some of the background information that supports development of capital investment plans can reveal sensitive vulnerabilities, capabilities, or methods of anti-terrorism, law enforcement, or national security activities. Depending on the information in question, the confidentiality impact can be moderate, high, or involve national security information (outside the scope of this guideline). Also, some capital investment plans of some Federal agencies contain national security information.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for capital planning information is low.
Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information.

Special Factors Affecting Integrity Impact Determination: Unauthorized modification or destruction of information affecting external communications that contain capital planning information (e.g., web pages, electronic mail) may adversely affect operations or public confidence in the agency, but the damage to the mission would usually be limited. Public confidence consequences will be more serious for agencies that have national defense, intelligence, or information security missions. In such cases, the impact may be at least moderate.

Recommended Integrity Impact Level: The provisional integrity level recommended for capital planning information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the capital planning information.

The capital planning processes are usually tolerant of delays.

Recommended Availability Impact Level: The provisional availability impact level recommended for capital planning information is low.

C.2.3.3 Enterprise Architecture Information Type

Enterprise Architecture is an established process for describing the current state and defining the target state and transition strategy for an organization's people, processes, and technology. The recommended provisional security categorization for the enterprise architecture information type is as follows:

Security Category = {(confidentiality, Low), (integrity, Low), (availability, Low)}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of enterprise architecture information on the ability of responsible agencies to describe the current state and define the target state and transition strategy for an organization's people, processes, and technology. The effects of loss of confidentiality of preliminary draft enterprise architecture plans can result in attempts by affected entities and other interested parties to influence and/or impede the policy and guideline development process. Premature public release of draft plans before internal coordination and review can result in unnecessary damage to public confidence in the agency. This is particularly likely where the release includes unedited internal commentary and discussion. However, the consequence of loss of confidentiality of most enterprise architecture information is likely to do only limited harm to government assets, personnel, or missions.
Special Factors Affecting Confidentiality Impact Determination: Unauthorized disclosure of some of the background information that supports development of Federal enterprise architecture can reveal sensitive vulnerabilities, capabilities, or methods of anti-terrorism, law enforcement, or national security activities.\textsuperscript{7} Depending on the information in question, the confidentiality impact can be \textbf{moderate}, \textbf{high}, or involve \textit{national security information} (outside the scope of this guideline). Also, some enterprise architecture plans of some Federal agencies are themselves \textit{national security information}. Finally, important financial decisions and planning information may be included in this category of information.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for enterprise architecture information is \textit{low}.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information.

Special Factors Affecting Integrity Impact Determination: Unauthorized modification or destruction of information affecting external communications that contain enterprise architecture information (e.g., web pages, electronic mail) may adversely affect operations or public confidence in the agency, but the damage to the mission would usually be limited. Public confidence consequences will be more serious for agencies that have national defense, intelligence, or information security missions. In such cases, the impact may be at least \textbf{moderate}.

Recommended Availability Impact Level: In general, the provisional integrity level recommended for enterprise architecture information is \textit{low}.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the enterprise architecture information. The enterprise architecture processes are usually tolerant of delays.

Recommended Availability Impact Level: The provisional availability impact level recommended for enterprise architecture information is \textit{low}.

C.2.3.4 Strategic Planning Information Type

Strategic Planning entails the determination of long-term goals and the identification of the best approach for achieving those goals. The recommended provisional security categorization for strategic planning information is as follows:

\textsuperscript{7} The Office of Management and Budget (OMB) has placed some emphasis on protecting repositories of this information. Among other things it may contain details of the technology and security of an agency’s network and include information about critical repositories of highly sensitive and/or even National Security information.
Security Category = \{(confidentiality, Low), (integrity, Low), (availability, Low)\}

Confidentiality

The confidentiality impact level is the effect of the unauthorized disclosure of strategic planning information on the ability of responsible agencies to determine long-term goals and to identify the best approach for achieving those goals. Premature public release of draft plans before internal coordination and review can result in unnecessary damage to public confidence in the agency. This is particularly likely where the release includes unedited internal commentary and discussion. However, the consequence of loss of confidentiality of most strategic planning information is likely to do only limited harm to government assets, personnel, or missions.

Special Factors Affecting Confidentiality Impact Determination: Unauthorized disclosure of some of the background information that supports development of some Federal strategic plans can reveal sensitive vulnerabilities, capabilities, or methods of anti-terrorism, law enforcement, or national security activities. Depending on the information in question, the confidentiality impact can be moderate, high, or involve national security information (outside the scope of this guideline). Also, some strategic plans are themselves national security information.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for strategic planning information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information.

Special Factors Affecting Integrity Impact Determination: Unauthorized modification or destruction of information affecting external communications that contain strategic planning information (e.g., web pages, electronic mail) may adversely affect operations or public confidence in the agency, but the damage to the mission would usually be limited. Public confidence consequences will be more serious for agencies that have national defense, intelligence, or information security missions. In such cases, the impact may be at least moderate.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for strategic planning information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the strategic planning information. Strategic planning processes are usually tolerant of delays.

Recommended Availability Impact Level: The provisional availability impact level recommended for strategic planning information is low.
C.2.3.5 Budget Execution Information Type

Budget Execution involves day-to-day requisitions and obligations for agency expenditures, invoices, billing dispute resolution, reconciliation, service level agreements, and distributions of shared expenses. The recommended provisional security categorization for budget execution information is as follows:

Security Category = \{(confidentiality, Low), (integrity, Low), (availability, Low)\}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of budget execution information on the ability of responsible agencies to manage day-to-day requisitions and obligations for agency expenditures, invoices, billing dispute resolution, reconciliation, service level agreements, and distributions of shared expenses. The effects of loss of confidentiality of most budget execution information are unlikely to pose the threat of serious harm to agency assets, personnel or operations. The consequence of loss of confidentiality of most budget execution information is likely to do serious harm to government assets, personnel, or missions.

Special Factors Affecting Confidentiality Impact Determination: The effects of loss of confidentiality of budget execution information can violate privacy regulations, reveal information proprietary to private institutions, and reveal procurement-sensitive information. In aggregate, budget execution information can reveal capabilities and methods that some agencies (e.g., law enforcement, homeland security, national defense, intelligence) consider extremely sensitive. In these cases, the potential harm that can result from unauthorized disclosure ranges from moderate to high to national security-related. In the last case, the information is outside the scope of this document. Public release of sensitive budget execution information can result in unnecessary damage to public confidence in the agency. This is particularly likely where the release includes unedited internal commentary and discussion.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for most budget execution information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. Where small dollar amounts are modified, the potential damage to an agency’s mission is limited.

Special Factors Affecting Integrity Impact Determination: In the case of agreements or transactions involving large monetary values, asset losses, and damage to agency operations, the potential for serious loss of public confidence is high. The consequent integrity impact level is moderate to high. If the budget execution information is time-critical or very sensitive, the integrity impact level may be moderate or high.
Recommended Integrity Impact Level: The provisional integrity impact level recommended for most budget execution information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the budget execution information. The budget execution processes are usually tolerant of delays.

Recommended Availability Impact Level: The provisional availability impact level recommended for budget execution information is low.

C.2.3.6 Workforce Planning Information Type

Workforce Planning involves the processes for identifying the workforce competencies required to meet the agency’s strategic goals and for developing the strategies to meet these requirements. The recommended security categorization for workforce planning information is as follows:

Security Category = {(confidentiality, Low), (integrity, Low), (availability, Low)}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of workforce planning information on the ability of responsible agencies to identify workforce competencies required to meet the agency’s strategic goals and for developing the strategies to meet these requirements. Unauthorized disclosure of most workforce planning information will have only a limited adverse effect on agency operations, assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: Unauthorized disclosure of some background information that supports development of Federal workforce plans can reveal sensitive vulnerabilities, tables of organization, capabilities, or methods of anti-terrorism, law enforcement, or national security activities. Depending on the information in question, the confidentiality impact can be moderate, high, or involve national security information (outside the scope of this guideline).

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for workforce planning information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. Therefore, consequences of undetected unauthorized modification or destruction of workforce planning information may compromise the effectiveness of compliance enforcement actions (e.g., by providing violators with a basis for claiming investigative or enforcement irregularities).
Recommended Integrity Impact Level: The provisional integrity impact level recommended for workforce planning information is **low**.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the workforce planning information. The workforce planning processes are generally tolerant of reasonable delays. In most cases, disruption of access to workforce planning information can be expected to have only a limited adverse effect on agency operations, agency assets, or individuals.

Recommended Availability Impact Level: The provisional availability impact level recommended for workforce planning information is **low**.

**C.2.3.7 Management Improvement Information Type**

Management Improvement includes all efforts to gauge the ongoing efficiency of business processes and identify opportunities for reengineering or restructuring. The recommended provisional security categorization for the management improvement information type is as follows:

**Security Category = \{\text{(confidentiality, Low), (integrity, Low), (availability, Low)}\}**

**Confidentiality**

The confidentiality impact level is the effect of unauthorized disclosure of management improvement information on the ability of responsible agencies to gauge the ongoing efficiency of business processes and identify opportunities for reengineering or restructuring. Premature public release of draft plans before internal coordination and review can result in unnecessary damage to public confidence in the agency. This is particularly likely where the release includes unedited internal commentary and discussion. However, the consequence of loss of confidentiality of most management improvement information is likely to involve only limited harm to government assets, personnel, or missions.

**Special Factors Affecting Confidentiality Impact Determination:** Unauthorized disclosure of some background information that supports development of Federal management improvement plans can reveal personnel-sensitive information, including information subject to the Privacy Act of 1974. The Privacy Act Information provisional impact levels are documented in the Personal Identity and Authentication information type. Other background information can reveal sensitive vulnerabilities, capabilities, or methods of anti-terrorism, law enforcement, or national security activities. Depending on the information in question, the confidentiality impact can be **moderate**, **high**, or involve **national security information** (outside the scope of this guideline). Also, some strategic plans are themselves **national security information**.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for management improvement information is **low**.
Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information.

Special Factors Affecting Integrity Impact Determination: Unauthorized modification or destruction of information affecting external communications that contain management improvement information (e.g., web pages, electronic mail) may adversely affect operations or public confidence in the agency, but the damage to the mission would usually be limited. Public confidence consequences can be expected to be more serious for agencies that have national defense, intelligence, or information security missions. In such cases, the impact may be at least moderate. Failure to detect malicious modification of personnel information (mostly background information) can result in disruption of some agency operations and disruptive administrative or legal actions.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for management improvement information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the management improvement information. The management improvement planning processes are usually tolerant of delays.

Recommended Availability Impact Level: The provisional availability impact level recommended for management improvement information is low.

C.2.4 Internal Risk Management and Mitigation

Internal risk management and mitigation involves all activities relating to the processes of analyzing exposure to risk and determining appropriate counter-measures. Note that risks to much information and many information systems associated with many internal risk management and mitigation activities may inherently affect the resistance to compromise/damage and recovery from damage with respect to a broad range of critical infrastructures and key national assets.

C.2.4.1 Contingency Planning Information Type

Contingency planning involves the actions required to plan for, respond to, and mitigate damaging events. The recommended provisional security categorization for the contingency planning information type is as follows:

Security Category = \{(confidentiality, Moderate), (integrity, Moderate), (availability, Moderate)\}
Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of contingency planning information on the ability of responsible agencies to plan for, respond to, and mitigate damaging events. Unauthorized disclosure of contingency planning information may equip an adversary with the information necessary to attack a system so that recovery is impaired.

Special Factors Affecting Confidentiality Impact Determination: Unauthorized disclosure of background information that supports development of Federal contingency plans can reveal sensitive vulnerabilities, capabilities, intelligence assessments, intelligence sources, or methods employed in anti-terrorism, law enforcement, or national security activities. Depending on the information in question, the confidentiality impact can be moderate, high, or involve national security information (outside the scope of this guideline). Also, some contingency plans are themselves national security information. However, the purpose of most contingency planning information is to protect against inadvertent or accidental damaging events rather than against malicious attacks. Even so, in the case of Federal government systems, the case of hostile attacks on systems must be considered. The consequences of unauthorized disclosure of extracts from contingency plans are likely to have negligible to limited adverse effects on agency operations. In such cases, the confidentiality impact would be, at most, low. Unauthorized disclosure of the entire plan to malicious entities may have serious effects. As a result, the consequence of loss of confidentiality of comprehensive contingency plans is likely to involve serious harm to government assets, personnel, or missions. In such cases, the confidentiality impact would be, at least, moderate.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for contingency planning information is moderate.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. Errors in contingency plans that result from integrity compromise can result in serious consequences to system recovery capabilities. These can range from incorrect telephone numbers and e-mail addresses on notification lists to erroneous schedules and file designations for database back-ups and archives or software baselines, updates, and patches.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for contingency planning information is moderate.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the contingency planning information. The effects of disruption of access to contingency planning information or information systems depend on the timing of the disruption. If access to contingency planning information is denied
because of a power outage, recovery may be delayed and the work of government agencies disrupted.

Special Factors Affecting Availability Impact Determination: The contingency planning processes are usually tolerant of delays. In contrast, the contingency plan implementation process is not tolerant of delays. The consequences of disruption of access to contingency planning information depend on both the period of the outage and the criticality of the disrupted processes. The consequent impact level may range from low to high.

Recommended Availability Impact Level: The provisional availability impact level recommended for contingency planning information is moderate.

C.2.4.2 Continuity of Operations Information Type

Continuity of operations involves the activities associated with the identification of critical systems and processes, and the planning and preparation required to ensure that these systems and processes will be available in the event of a catastrophic event. The recommended provisional security categorization for the continuity of operations information type is as follows:

Security Category = {\{confidentiality, Moderate\}, \{integrity, Moderate\}, \{availability, Moderate\}}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of continuity of operations information on the ability of responsible agencies to identify critical systems and processes, and to conduct the planning and preparation required to ensure that these systems and processes will be available in the event of a catastrophic event. Unauthorized disclosure of the entire plan to malicious entities may have serious effects. As a result, the consequence of loss of confidentiality of most continuity of operations plans (and comprehensive continuity of operations plans) is likely to do serious harm to government assets, personnel, or missions.

Special Factors Affecting Confidentiality Impact Determination: Unauthorized disclosure of background information that supports development of Federal continuity of operations plans can reveal sensitive vulnerabilities, capabilities, intelligence assessments, intelligence sources, or methods employed in anti-terrorism, law enforcement, or national security activities. Depending on the information in question, the confidentiality impact can be moderate, high, or involve national security information (outside the scope of this guideline). Unauthorized disclosure of continuity of operations information for critical infrastructures and key national assets may require a high impact level. However, the purpose of most continuity of operations information is to protect against inadvertent or accidental damaging events rather than against malicious attacks. Even so, in the case of Federal government systems, hostile attacks on systems must be considered.

The consequences of unauthorized disclosure of extracts from continuity of operations plans are likely to have negligible to limited adverse effects on agency operations. In such cases, the
confidentiality impact would be, at most, *low*. Unauthorized disclosure of continuity of operations information may inform an adversary regarding what facilities and processes are considered to be critical. Such unauthorized disclosure may also equip an adversary with the information necessary to attack a system so that operations are disrupted, and that recovery is impaired. In such cases, the confidentiality impact would be, at least, *moderate*.

**Recommended Confidentiality Impact Level:** The provisional confidentiality impact level recommended for continuity of operations information is *moderate*.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. Errors in continuity of operations plans that result from integrity compromise can result in serious consequences to system recovery capabilities. These can range from incorrect telephone numbers and e-mail addresses on notification lists to erroneous version numbers for database back-ups and archives or software baselines, updates, and patches.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for continuity of operations information is *moderate*.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the continuity of operations information.

**Special Factors Affecting Availability Impact Determination:** The effects of disruption of access to continuity of operations information or information systems depend on the timing of the disruption. If access to continuity of operations information is denied because of a power outage, recovery may be delayed and the work of government agencies disrupted. The continuity of operations planning process is usually tolerant of delays. In contrast, the continuity of operations *implementation* process is not tolerant of delays. The consequences of disruption of access to continuity of operations information depend on both the period of the outage and the criticality of the disrupted processes. The consequent impact level will range from *low* to *high*.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for continuity of operations information is *moderate*.

**C.2.4.3 Service Recovery Information Type**

Service recovery involves the internal actions necessary to develop a plan for resuming operations after a catastrophe occurs, such as a fire or earthquake. The recommended provisional security categorization for the service recovery information type is as follows:

Security Category = \{(confidentiality, Low), (integrity, Low), (availability, Low)\}
Confidentiality

The confidentiality impact level is the effect of the unauthorized disclosure of service recovery information on the ability of responsible agencies to develop plans for resuming operations after a catastrophe occurs, such as a fire or earthquake. In the case of service recovery plans for natural catastrophes, the information associated with service recovery planning is not intrinsically sensitive. In the case of catastrophes caused by malicious activity, unauthorized disclosure of service recovery information may inform an adversary regarding what facilities and processes are considered to be critical. Such unauthorized disclosure may also equip an adversary with the information necessary to attack a system in such a way that operations are disrupted, and that recovery is impaired or even blocked. The purpose of most service recovery information is to protect against natural catastrophes rather than against malicious attacks. In most cases, the consequence of loss of confidentiality of service recovery information is not likely to do serious harm to government assets, personnel, or missions.

Special Factors Affecting Confidentiality Impact Determination: Unauthorized disclosure of background information that supports development of Federal service recovery plans can reveal sensitive vulnerabilities, capabilities, intelligence assessments, intelligence sources, or methods employed in anti-terrorism, law enforcement, or national security activities. Depending on the information in question, the confidentiality impact can be moderate, high, or involve national security information (outside the scope of this guideline). Also, some service recovery plans are themselves national security information.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for service recovery information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for service recovery information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the service recovery information. The effects of disruption of access to service recovery information or information systems depend on the timing of the disruption. If access to service recovery information is denied because of a power outage, recovery may be delayed and the work of government agencies disrupted.

Special Factors Affecting Availability Impact Determination: Service recovery planning processes are usually tolerant of delay. In contrast, the implementation of recovery plans is not tolerant of delays. For service recovery implementation, the consequences of access disruption depend on
the time period of the disruption and the criticality of the disrupted processes. The consequent impact level may range from low to high.

Recommended Availability Impact Level: The provisional availability impact level recommended for service recovery information is low.

C.2.5 Revenue Collection

Revenue Collection includes the collection of Government income from all sources. Note: Tax collection is accounted for under the Taxation Management information type in the General Government mission area.

C.2.5.1 Debt Collection Information Type

Debt Collection supports activities associated with the collection of money owed to the United States government from both foreign and domestic sources. The recommended security categorization for debt collection information is as follows:

Security Category = {(confidentiality, Moderate), (integrity, Low), (availability, Low)}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of debt collection information on the ability of responsible agencies to properly and efficiently collect money owed to the United States government from both foreign and domestic sources. The consequences of unauthorized disclosure of debt collection information are generally dependent on the identity of the debtor and of the nature and value of the debt being collected. Typically, unauthorized disclosure of debt collection information will have only a limited adverse effect on agency operations, assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: Where more sensitive information is involved, it will commonly be personal information subject to the Privacy Act of 1974, information that is proprietary to a corporation or other organization, or information that is politically sensitive by a foreign government. The Privacy Act Information provisional impact levels are documented in the Personal Identity and Authentication information type. Such information will often be associated with debt collection processes. Where the amount of the debt is significant, and unauthorized knowledge might imperil successful collection, then the associated confidentiality impact assigned to debt collection information might be moderate (or even high in the case of extremely high dollar value cases).

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for debt collection information is moderate.
Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. Therefore, the consequences of unauthorized modification or destruction of debt collection information depend on the type of property being managed and on the immediacy with which the information is expected to be used.

Special Factors Affecting Integrity Impact Determination: If the modified or destroyed information is substantive financial data, there is a greater potential for harm to result from actions being taken based on incomplete or false information. This can have serious adverse effects on individual financial actions with consequent loss of revenue from, or other unanticipated consequences regarding the personal property under disposition. The severity of the consequences depends on the type of the debt and of the debtor but would be most likely be moderate.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for debt collection information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the debt collection information.

Most Federal debt collection processes are tolerant of delays. Also, the consequences of temporary inability to access information concerning foreign or domestic debt will be minimal.

Recommended Availability Impact Level: The provisional availability impact level recommended for debt collection information is low.

C.2.5.2 User Fee Collection Information Type

User fee Collection involves the collection of fees assessed on individuals or organizations for the provision of Government services and for the use of Government goods or resources (i.e. National Parks). The recommended security categorization for the user fee collection information type is as follows:

Security Category = {(confidentiality, Low), (integrity, Low), (availability, Moderate)}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of user fee collection information on the ability of responsible agencies to correctly and efficiently enforce, regulate, and effect the collection of fees assessed on individuals or organizations for the provision of Government services and for the use of Government goods or resources. In general, particularly in aggregate, this information is public record.
Recommended Confidentiality Impact Level: The recommended provisional confidentiality impact level for user fee collection information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. For example, there may be some circumstances when the unauthorized modification or destruction of user fee collection information is undertaken as part of a scheme to divert payments, conceal underpayment of failure to make payment of fees, or otherwise defraud the government. In addition, the consequences of unauthorized modification or destruction of user fee collection information may depend on the urgency with which the information is needed or the immediacy with which the information is used. In most cases, it is unlikely that the information will be needed urgently or acted upon immediately.

Special Factors Affecting Integrity Impact Determination: Unauthorized modification or destruction of information affecting external communications might have an adverse effect on agency operations, image and reputation. The integrity impact level assigned may be moderate.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for user fee collection information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the user fee collection information. The missions supported by user fee collection information are generally tolerant of delay. However, any extended period of unavailability would likely be seriously disruptive to the operations for which fees are collected.

Recommended Availability Impact Level: The provisional availability impact level recommended for user fee collection information is moderate.

C.2.5.3 Federal Asset Sales Information Type

Federal Asset Sales encompasses the activities associated with the acquisition, oversight, tracking, and sale of non-internal assets managed by the Federal Government with a commercial value and sold to the private sector. The recommended security categorization for the Federal asset sales information type is as follows:

Security Category = {(confidentiality, Low), (integrity, Moderate), (availability, Low)}

Confidentiality

The confidentiality impact level is the effect of the unauthorized disclosure of Federal asset sales information on the ability of responsible agencies to properly and efficiently acquire, oversee, track, and sell non-internal assets managed by the Federal Government with a commercial value.
and sold to the private sector. The consequences of unauthorized disclosure of Federal asset sales information are generally dependent on the nature and value of the property being disposed. Generally, Federal asset sales information is public. Most managed property would not be of sufficient individual value to occasion such an occurrence (bid rigging, etc.).

Special Factors Affecting Confidentiality Impact Determination: Where unauthorized knowledge regarding the property being disposed of might lead to unfair advantage (i.e., ability to accurately bid on an auction lot to the detriment of other bidders), then the associated confidentiality impact assigned to Federal asset sales information might be moderate. Such an instance might arise if a disruption of the proper procedures could reasonably cause an adverse effect on future operations of the responsible agency, or if the agency’s image, or individual reputations might be damaged.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for Federal asset sales information is low.

Integrity
The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of Federal asset sale information is partially dependent on the type of property being managed and whether the data is time-critical. If the modified or destroyed information is substantive financial data, actions that are taken based on incomplete or false information could have serious adverse effects on individual financial actions.

Unauthorized modification or destruction of information affecting external communications (e.g., web pages, solicitations for bid, official notices of disposition, etc.) may adversely affect the operations, image or reputation of an agency. However, the damage to the management mission would usually be of more immediate concern. The severity of the consequent integrity impact depends on the nature of the property but would be most likely be moderate.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for Federal asset sales information is moderate.

Availability
The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the Federal asset sale information. The missions supported by Federal asset sale information are generally tolerant of delay. Generally, the consequences of temporary inability to access solicitations for bid, official notices of disposition, etc., will be minimal.

Recommended Availability Impact Level: The provisional availability impact level recommended for Federal asset sale information is low.
C.2.6 Public Affairs

Public Affairs activities involve the exchange of information and communication between the Federal Government, citizens and stakeholders in direct support of citizen services, public policy, and/or national interest.

C.2.6.1 Customer Services Information Type

Customer Service supports activities associated with providing and managing the delivery of information and support to the government’s customers. The recommended security categorization for the customer service information type is as follows:

Security Category = \{ (confidentiality, Low), (integrity, Low), (availability, Low) \}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of customer service information on the ability of responsible agencies to provide and manage the delivery of information and support to the government’s customers. Most customer service information is likely to be in the public domain and poses no confidentiality impact. In most cases, unauthorized disclosure of customer service information will have at most a limited adverse effect on agency operations, assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: Some customer service information may include customer-provided information covered by the provisions of the Privacy Act of 1974. The Privacy Act Information provisional impact levels are documented in the Personal Identity and Authentication information type. Unauthorized disclosure of large volumes of information protected under the Privacy Act can be expected to have a serious to severe effect on public confidence in the agency. Actions taken that are intended to establish blame, compensate victims, or repair damage done with the exposed information can cause serious disruption of an agency’s mission capability. In such cases, the confidentiality impact can be moderate.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for customer service information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. Typically, the adverse effects of unauthorized modification or destruction of customer service information on overall agency mission functions or public confidence in the agency are limited. The more serious integrity impacts become increasingly likely as E-government initiatives progress. Typically, the unauthorized modification or destruction of information affecting external communications (e.g., web pages, electronic mail) will result in limited adverse affect on operations or public confidence in the agency and the damage to most missions would usually be limited.
Special Factors Affecting Integrity Impact Determination: An increasing proportion of customer service activities are interactive. Consequently, there is a potential for customer actions being taken based on modified or incomplete information. Similarly, unauthorized modification or deletion of customer-supplied information can result in government mishandling of interactions with customers. If this occurs on a large-scale serious damage to public confidence in the agency may result. In such cases, a **moderate** integrity may be associated with customer service information.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for customer service information is **low**.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the customer service information. The effects of disruption of access to or use of customer service information can usually be limited. In addition, customer service operations are not typically tolerant of delay. Even temporary loss of availability of customer service information is likely to disrupt customer operations. In most cases, disruption of access to customer service information can be expected to have only a limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Availability Impact Determination: While most outages will result in only limited adverse effects on government operations, repeated outages can have a serious adverse effect on public confidence in the agency. In such cases, the availability impact might be **moderate**.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for customer service information is **low**.

### C.2.6.2 Official Information Dissemination Information Type

Official Information Dissemination includes all efforts to provide official government information to external stakeholders through the use of various types of media, such as video, paper, web, etc. The recommended security categorization for the official information dissemination information type is as follows:

**Security Category = {confidentiality, Low}, (integrity, Low), (availability, Low}**

**Confidentiality**

The confidentiality impact level is the effect of unauthorized disclosure of official information dissemination information on the ability of responsible agencies to provide official Federal government information to external stakeholders through the use of various communications media. Official information dissemination information is usually in the public domain and poses no confidentiality impact.
Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for official information dissemination information is low.

Integrity
The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. In general, the adverse effects of unauthorized modification or destruction of official information dissemination information on overall agency mission functions will be limited.

Special Factors Affecting Integrity Impact Determination: There is a potential for customer actions taken based on modified or incomplete information. In addition, unauthorized modification or destruction of official information dissemination information may result in distribution of false and misleading information (e.g., modified web pages, electronic mail, video). Such events can adversely affect operations or public confidence in the agency. This can significantly degrade the official information dissemination mission capability. In such cases, a moderate integrity impact may exist. Also, the more serious integrity impacts become increasingly likely as E-government initiatives progress.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for official information dissemination information is low.

Availability
The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the official information dissemination information. Official information dissemination processes are generally tolerant of limited delays. However, even temporary loss of availability of official information dissemination information is likely to have an adverse effect on public confidence in the agency. In most cases, disruption of access to official information dissemination information can be expected to have only a limited adverse effect on overall agency operations, agency assets, or individuals.

Special Factors Affecting Availability Impact Determination: While most cases will result in only limited consequences, repeated outages can have a serious adverse effect on public confidence in the agency. This can significantly degrade the official information dissemination mission capability. In such cases, the availability impact might be moderate.

Recommended Availability Impact Level: The provisional availability impact level recommended for official information dissemination information is low.

C.2.6.3 Product Outreach Information Type
Product Outreach relates to the marketing of government services products, and programs to the general public in an attempt to promote awareness and increase the number of
customers/beneficiaries of those services and programs. The recommended security categorization for the product outreach information type is as follows:

Security Category = {(confidentiality, Low), (integrity, Low), (availability, Low)}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of product outreach information on the ability of responsible agencies to market government services products, and programs to the general public in an attempt to promote awareness and increase the number of customers/beneficiaries of those services and programs. Product outreach information is usually in the public domain and poses no confidentiality impact.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for product outreach information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. In most cases, the adverse effect of unauthorized modification or destruction of product outreach information on overall agency mission functions will be limited.

Special Factors Affecting Integrity Impact Determination: The unauthorized modification or destruction of product outreach information may result in distribution of false and misleading information. Such events may adversely affect operations or public confidence in the agency and may significantly degrade the product marketing mission capability. In such cases, a moderate integrity impact may exist.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for product outreach information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the product outreach information. Product outreach processes are generally tolerant of limited delays. In most cases, disruption of access to product outreach information can be expected to have only a limited adverse effect on agency operations, agency assets, or individuals.

Recommended Availability Impact Level: The provisional availability impact level recommended for product outreach information is low.
C.2.6.4 Public Relations Information Type

Public Relations activities involve the efforts to promote an organizations image through the effective handling of citizen concerns. The recommended security categorization for the public relations information type is as follows:

Security Category = {{(confidentiality, Low), (integrity, Low), (availability, Low)}}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of public relations information on the ability of responsible agencies to promote an organizations image through the effective handling of citizen concerns. Public relations information itself is usually in the public domain and poses no confidentiality impact.

Special Factors Affecting Confidentiality Impact Determination: Internal correspondence associated with development of public relations information can contain information, the unauthorized disclosure of which can have a serious adverse effect on agency operations. This can result in assignment of a **moderate** impact level to such information.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for public relations information is **low**.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. In most cases, the adverse effects of unauthorized modification or destruction of public relations information on overall agency mission functions will be limited.

Special Factors Affecting Integrity Impact Determination: Unauthorized modification or destruction of public relations information may result in distribution of false and misleading information. Such events can be expected to adversely affect operations and/or public confidence in the agency. This can significantly degrade the public relations mission capability. In such cases, a **moderate** integrity impact may exist.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for public relations information is **low**.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the public relations information. Public relations processes are generally tolerant of limited delays. In most cases, disruption of access to public relations information can be expected to have only a limited adverse effect on agency operations, agency assets, or individuals.
Recommended Availability Impact Level: The provisional availability impact level recommended for public relations information is low.

C.2.7 Legislative Relations

Legislative Relations involves activities aimed at the development, tracking, and amendment of public laws through the legislative branch of the Federal Government.

C.2.7.1 Legislation Tracking Information Type

Legislation Tracking involves following legislation from conception to adoption. The recommended security categorization for the legislation tracking information type is as follows:

Security Category = {(confidentiality, Low), (integrity, Low), (availability, Low)}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of legislation tracking information on the ability of responsible agencies to follow legislation from conception to adoption. Legislation tracking information itself is usually in the public domain and poses no confidentiality impact.

Special Factors Affecting Confidentiality Impact Determination: In some cases, internal correspondence associated with legislation tracking information can contain information, that if improperly disclosed, will have a serious adverse effect on agency relationships with other agencies and with the legislative branch. This can result in assignment of a moderate impact level to such information.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for legislation tracking information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. In most cases, the adverse effects of unauthorized modification or destruction of legislation tracking information on overall agency mission functions will be limited.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for legislation tracking information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the legislation tracking information. Legislation tracking processes are generally tolerant of limited delays. In most cases, disruption
of access to legislation tracking information will have only a limited adverse effect on agency operations, agency assets, or individuals.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for legislation tracking information is *low*.

### C.2.7.2 Legislation Testimony Information Type

Legislation Testimony involves activities associated with providing testimony/evidence in support or, or opposition to, legislation from conception to adoption. Subject to exception conditions described below, the recommended security categorization for the legislation testimony information type is as follows:

Security Category = {(confidentiality, Low), (integrity, Low), (availability, Low)}

**Confidentiality**

The confidentiality impact level is the effect of unauthorized disclosure of legislation testimony information on the ability of responsible agencies to provide testimony/evidence in support or, or opposition to, legislation from conception to adoption. Most testimony regarding legislation is in the public domain, and even premature release should result in no more than limited harm to agency assets, personnel, or operations.

Special Factors Affecting Confidentiality Impact Determination: The effects of loss of confidentiality of some information applicable to pending testimony may result in attempts by competing interests to influence and/or impede a specific legislative process. The consequences to agency programs and of the ability of an agency to perform its mission can be very serious. Premature public release of draft testimony before internal coordination and review has been conducted can result in unnecessary criticism of the proposed testimony and damage public confidence in the agency. These consequences are particularly likely where the release includes unedited internal commentary and discussion. The results of unauthorized disclosure of information to the public can imperil specific agency programs, but a consequent loss of public confidence can do persistent harm to an agency’s ability to effectively perform its mission. This can result in assignment of a *moderate* impact level to such information. Some information associated with legislative testimony is classified *national security information* and is outside the scope of this guideline.

**Recommended Confidentiality Impact Level:** The provisional confidentiality impact level recommended for legislation testimony information is *low*.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information.
Unauthorized modification or destruction of information affecting external publication of testimony associated with legislation (e.g., web pages, electronic mail) may adversely affect inter-agency relationships, relations with Congress, or public confidence in the agency. However, damage to the mission would usually be limited.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for legislation testimony information is *low*.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the legislation testimony information. The legislation testimony processes are usually tolerant of delays.

**Special Factors Affecting Availability Impact Determination:** Excessive recovery delays can result in damage to agency reputation and to interests associated with specific legislation. This can result in assignment of a *moderate* impact level to such information.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for legislation testimony information is *low*.

### C.2.7.3 Proposal Development Information Type

Proposal Development involves drafting proposed legislation that creates or amends laws subject to Congressional legislative action. Subject to exception conditions described below, the recommended security categorization for the proposal development information type is as follows:

*Security Category = {(confidentiality, Moderate), (integrity, Low), (availability, Low)}*

**Confidentiality**

The confidentiality impact level is the effect of unauthorized disclosure of proposal development information on the ability of responsible agencies to draft proposed legislation that creates or amends laws subject to Congressional legislative action. Legislation is normally in the public domain. However, the effects of loss of confidentiality of background information used in the development of proposed legislation or of early drafts of proposed legislation could result in attempts by competing interests to influence and/or impede a specific legislative process. The consequences to agency programs and of the ability of an agency to perform its mission can be very serious. Premature public release of proposed legislation before internal coordination and review has been conducted can result in unnecessary criticism of the proposed legislation and even damage public confidence in the agency. These consequences are particularly likely where the release includes unedited internal commentary and discussion. In general, unauthorized disclosure of much legislative proposal information, particularly in early phases of the process, is likely to result in serious harm to agency assets or operations.
Special Factors Affecting Confidentiality Impact Determination: Some proposal development information used by specific Federal agencies (e.g., homeland security, law enforcement, defense, intelligence community) is very sensitive or classified national security information. National security information is outside the scope of this guideline. The sensitivity level recommended for the very sensitive information is high. If the proposal development information is moved to the public domain, the confidentiality impact level becomes Not Applicable (NA).

Recommended Confidentiality Impact Level: In order to accommodate event-driven consequences of unauthorized disclosure of pre-release drafts, the provisional confidentiality impact level recommended for proposal development information is moderate.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information.

Unauthorized modification or destruction of information affecting external publication of proposed legislation (e.g., web pages, electronic mail) might adversely affect inter-agency relationships, relations with Congress, or public confidence in the agency. However, damage to the mission would usually be limited.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for proposal development information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the proposal development information. Proposal development processes are usually tolerant of delays.

Special Factors Affecting Availability Impact Determination: Excessive recovery delays can result in damage to agency reputation and to interests associated with specific legislation. This can result in assignment of a moderate impact level to such information.

Recommended Availability Impact Level: The provisional availability impact level recommended for proposal development information is low.

C.2.7.4 Congressional Liaison Information Type

Congressional Liaison Operations involves all activities associated with supporting the formal relationship between a Federal Agency and the U.S. Congress. Subject to exception conditions described below, the recommended security categorization for the Congressional liaison information type is as follows:

Security Category = {(confidentiality, Moderate), (integrity, Low), (availability, Low)}
Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of Congressional liaison information on the ability of responsible agencies to support their formal relationships with U.S. Congress. The effects of loss of confidentiality of information associated with Congressional liaison can facilitate attempts by competing interests to influence and/or impede a specific legislative process or poison inter-branch relations. The consequences to agency programs and even of the ability of an agency to perform its mission can be very serious. Premature public release of information associated with Congressional liaison before internal coordination and review has been conducted can result in unnecessary criticism of the preliminary data or positions, and even damage public confidence in the agency. These consequences are particularly likely where the release includes unedited internal commentary and discussion. In general, unauthorized disclosure of much Congressional liaison information is likely to result in serious harm to agency assets and/or operations. If the Congressional liaison information is moved to the public domain, the confidentiality impact level becomes Not Applicable (NA).

Special Factors Affecting Confidentiality Impact Determination: Some Congressional liaison information used by Federal agencies (e.g., homeland security, law enforcement, defense, intelligence community) is very sensitive or even classified national security information. National security information is outside the scope of this guideline. The sensitivity level associated with the very sensitive information is high.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for Congressional liaison information is moderate.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for Congressional liaison information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the Congressional liaison information. Congressional liaison processes are usually tolerant of delays.

Special Factors Affecting Availability Impact Determination: Excessive recovery delays can result in damage to agency reputation and to interests associated with specific legislation. This can result in assignment of a moderate impact level to such information.

Recommended Availability Impact Level: The provisional availability impact level recommended for Congressional liaison information is low.
C.2.8 General Government

General Government involves the overhead costs of the Federal Government, including legislative and executive activities; provision of central fiscal, personnel, and property activities; and the provision of services that cannot reasonably be classified in any other service support area. As a normal rule, all activities reasonably or closely associated with other service support areas or information types shall be included in those service support areas or information types rather than listed as a part of general government. This service support area is reserved for central government management operations; most service delivery (mission-based) management activities would not be included here. Unlike the other service support functions, some general government information types are associated with specific organizations (e.g., Department of the Treasury, Executive Office of the President, Internal Revenue Service).

C.2.8.1 Central Fiscal Operations Information Type

Central Fiscal Operations includes the fiscal operations that the Department of Treasury performs on behalf of the Government.\(^8\) [Note: Tax-related functions are associated with the Taxation Management information type.] Impacts to some information and information systems associated with central fiscal operations may affect the security of the critical banking and finance infrastructure. In most cases, the effect on public welfare of a loss of central fiscal operations functionality can be expected to be delayed rather than immediate. The potential for consequent loss of human life or of major national assets is low. The provisional security categorization recommended for the central fiscal operations information type is as follows:

Security Category = \{\text{(confidentiality, Moderate), (integrity, Low), (availability, Low)}\}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of central fiscal operations information on the fiscal operations that the Department of Treasury performs on behalf of the Government. The effects of loss of confidentiality can reasonably be expected to jeopardize relationships and administrative actions necessary to mission fulfillment and/or to seriously damage public confidence in the agency. For example, the unauthorized disclosure of investigative and enforcement information can have serious economic impact on both individual companies and the broader market place (e.g., short-term stock market perturbations). The consequences of such unauthorized disclosures may have a serious adverse effect on public confidence in the agency.

Special Factors Affecting Confidentiality Impact Determination: Where the operations in question involve liaison with law enforcement or homeland security organizations, the consequences of unauthorized disclosure can imperil operations critical to the security of human life, critical infrastructure protection, or the protection of key national assets. For those operations, the

---

\(^8\) Central fiscal operations focus on central Federal government functions rather than on central agency functions.
consequences to key financial infrastructure elements can be serious to severe. In such cases, the associated confidentiality impact level will be \textit{high}.

**Recommended Confidentiality Impact Level:** The confidentiality impact level recommended for most central fiscal operations information is \textit{moderate}.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information.

Unauthorized modification or destruction of information affecting external communications that include central fiscal operations information (e.g., web pages, electronic mail) may adversely affect operations and/or public confidence in the agency, but the damage to the mission would usually be limited.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for central fiscal operations information is normally \textit{low}.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the central fiscal operations information. Central fiscal operations processes are usually tolerant of delays.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for central fiscal operations information is \textit{low}.

**C.2.8.2 Legislative Functions Information Type**

Legislative functions include the service support activities associated with costs of the Legislative Branch other than the Tax Court, the Library of Congress, and the Government Printing Office revolving fund. The recommended security categorization for the legislative service support information type is as follows:

\[
\text{Security Category} = \{(\text{confidentiality, Low}), (\text{integrity, Low}), (\text{availability, Low})\}
\]

**Confidentiality**

The confidentiality impact level is the effect of unauthorized disclosure of legislative functions information on the ability of responsible agencies to provide service support activities associated with costs of the Legislative Branch other than the Tax Court, the Library of Congress, and the Government Printing Office revolving fund. The effects of loss of confidentiality of information associated with legislative functions can be expected to have only a limited impact on Federal government assets, operations, or personnel welfare.
Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for legislative functions information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. Misunderstandings resulting from modified information that is actually exchanged can usually be resolved and any resulting damage to the support function from modified information that is exchanged would usually be limited.

Unauthorized modification or destruction of information affecting external publication of legislative service support information (e.g., web pages, electronic mail) may adversely affect inter-agency relationships, relations with Congress, or public confidence in the agency. However, damage to the mission would usually be limited.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for legislative functions information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the legislative service support information. Legislative functions processes are usually tolerant of delays.

Special Factors Affecting Availability Impact Determination: Excessive recovery delays can result in damage to agency reputation and to interests associated with specific legislation. This can result in assignment of a moderate impact level to such information.

Recommended Availability Impact Level: The provisional availability impact level recommended for legislative functions information is low.

C.2.8.3 Executive Functions Information Type

Subject to exception conditions described below, the recommended provisional security categorization for the executive information type is as follows:

Security Category = {(confidentiality, Low), (integrity, Low), (availability, Low)}

Confidentiality

The confidentiality impact level associated with the executive information type is associated with executive functions. The effects of loss of confidentiality of policies and guidance during the formative stage can result in attempts by affected entities and other interested parties to influence and/or impede the policy and guidance development process. Premature public release of formative policies and guidance before internal coordination and review can result in
unnecessary damage to public confidence in the executive office. These consequences may occur when the release includes unedited internal commentary and discussion.

**Recommended Confidentiality Impact Level:** The provisional confidentiality impact level recommended for executive functions information is *low*.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information.

Unauthorized modification or destruction of information affecting external communications that contain executive information (e.g., web pages, electronic mail) may adversely affect public confidence in the government.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for executive information is *low*.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the executive information.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for executive functions information is *low*.

### C.2.8.4 Central Property Management Information Type

Central Property Management involves most of the operations of the General Services Administration. The following recommended provisional security categorization of central property management information is particularly subject to change where critical infrastructure elements or key national assets are involved:

\[
\text{Security Category} = \{(\text{confidentiality, Low}^9), (\text{integrity, Low}^4), (\text{availability, Low}^{10})\}
\]

**Confidentiality**

The confidentiality impact level is the effect of unauthorized disclosure of central property management information on the ability of the General Services Administration to acquire, provide, and centrally administer offices buildings, fleets, machinery, and other capital assets and consumable supplies used by the Federal government. The consequences of unauthorized

---

9 Impact level is usually *high* where safety of major critical infrastructure components or key national assets is at stake.

10 Impact level is usually *moderate to high* in emergency situations where time-critical processes affecting human safety or major assets are involved.
Disclosure of most central property management information are likely to have only a limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: Unauthorized disclosure of information associated with very large procurements can result in fraud, waste, abuse, and/or legal proceedings that can have a serious to severe effect on Federal government assets and operations. Also, information associated with acquisition, maintenance, administration, and operation of many Federal government office buildings, transportation fleets, and operational facilities can be of material use to criminals seeking to gain access to Federal facilities to facilitate or perpetrate fraud, theft, or some other criminal enterprise. In this case, unauthorized disclosure of information can have a serious adverse effect on agency operations, agency assets, or individuals. The consequent confidentiality impact would be at least moderate.

Information associated with maintenance, administration, and operation of other Federal government facilities can be of material use to terrorists seeking to penetrate and/or commandeer such facilities as part of operations intended to harm critical infrastructures, key national assets, or people. Examples of more potentially damaging information include architectural, maintenance and administrative information that might permit either covert pedestrian or unimpeded vehicular access to government buildings (e.g., Congressional office buildings, FBI Headquarters, the National Archives, Smithsonian Institution buildings, dams, nuclear power plants, etc.). In such cases, the confidentiality impact level may be high.

[Some information is classified as national security and is outside the scope of this guideline.] Anticipated or realized unauthorized disclosure of one agency’s central property management information by GSA could result in negative impacts on cross-jurisdictional coordination within the central property management infrastructure and the general effectiveness of organizations tasked with acquiring and managing government facilities and supplies.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for central property management information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. In addition, the consequences of unauthorized modification or destruction of central property management information usually depends on the urgency with which the information is needed or the immediacy with which the information is used. In most cases, it is unlikely that the information will be time-critical or acted upon immediately.

Unauthorized modification or destruction of information affecting external publication of central property management information (e.g., web pages, electronic mail) may adversely affect public confidence in the agency. However, damage to the mission would usually be limited.
Recommended Integrity Impact Level: The provisional integrity impact level recommended for central property management information is \textit{low}.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the central property management information. The functions supported by most central property management information are tolerant of delays. Typically, the disruption of access to central property management information will have a limited adverse effect on agency operations (including mission functions and public confidence in the agency), agency assets, or individuals.

Special Factors Affecting Availability Impact Determination: Exceptions may include emergency response aspects of disaster management. In such cases, delays measured in hours can cost lives and major property damage. Consequently, the availability impact level associated with unauthorized modification or destruction of central property management information needed to respond to emergencies may be \textit{high}.

Recommended Availability Impact Level: The provisional availability impact level recommended for central property management information is \textit{low}.

\textbf{C.2.8.5 Central Personnel Management Information Type}

Central Personnel Management involves most of the operating activities of the Office of Personnel Management and related agencies. The recommended security categorization for the central personnel management information type is as follows:

\textbf{Security Category} = \{(\textit{confidentiality, Low}), (\textit{integrity, Low}), (\textit{availability, Low})\}

\textbf{Confidentiality}

The confidentiality impact level is the effect of unauthorized disclosure of central personnel management information on the ability of the Office of Personnel Management (OPM) to build a high quality and diverse Federal workforce, based on merit system principles. Central personnel management information includes human resources management and consulting services, education and leadership development services, and investigation services. The unauthorized disclosure of most central personnel management information will have only a limited adverse effect on agency operations, assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: Very sensitive information is typically personal information subject to the Privacy Act of 1974. (The Privacy Act Information provisional impact levels are documented in the Personal Identity and Authentication information type.) Such information will often be assigned a \textit{moderate} confidentiality impact level. Some information associated with investigative services may be particularly sensitive and require a \textit{high} confidentiality impact level.
Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for central personnel management information is **low**.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of undetected unauthorized modification or destruction of central personnel management information can conceivably disrupt central personnel management operations (e.g., by modifying sensitive private personal information or compromising confidentiality mechanisms).

Unauthorized modification or destruction of information affecting external publication of central personnel management information (e.g., web pages, electronic mail) may adversely affect public confidence in the government. However, damage to the mission would usually be limited.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for central personnel management information is **low**.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the central personnel management information. Central personnel management *processes* are generally tolerant of reasonable delays. In most cases, disruption of access to central personnel management information can be expected to have only a limited adverse effect on agency operations, agency assets, or individuals.

Recommended Availability Impact Level: The provisional availability impact level recommended for central personnel management information is **low**.

### C.2.8.6 Taxation Management Information Type

Taxation Management includes activities associated with the implementation of the Internal Revenue Code and the collection of taxes in the United States and abroad. The recommended security categorization for the taxation management information type is as follows:

\[
\text{Security Category} = \{(\text{confidentiality, Moderate}), (\text{integrity, Low}), (\text{availability, Low})\}
\]

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of taxation management information on the ability of the Internal Revenue Service (IRS) to enforce the Internal Revenue Code and to collect taxes in the United States and abroad. The IRS *Guidebook for Information Sensitivity Analysis* provides guidelines for identifying IRS Official Use Only (OUO) Information. Sensitive information is identified in the IRM as any information which if lost, stolen, (accessed), or altered without proper authorization may adversely affect Service
operations. The IRM states that unauthorized disclosure of sensitive information may cause lawsuits against Service officials as well as the Service, unwanted notoriety for the Service, and public distrust of the Service’s ability to protect such information – all of which may result in an increase in noncompliance with tax laws. It notes that unauthorized release of information such as the name and address of an informant (in cases of tax evasion or fraud) may threaten a person’s life. Additionally, sensitive information is defined in Section 25.10 of the IRM as information that requires protection due to the risk or magnitude of loss that could result from inadvertent or deliberate disclosure of the information. Sensitive information includes information whose improper use could adversely affect the ability of the agency to accomplish its mission, proprietary information, records about individuals that require protection under the Privacy Act, and information not releasable under the Freedom of Information Act. The IRS OUO guideline notes that prevention of unauthorized disclosure of information revealing internal matters, the disclosure of which would risk circumvention of a legal requirement or agency rules and regulations has assumed an increasingly important role in homeland security. Unauthorized disclosure of sensitive or private IRS information can be expected to have a serious effect on both the welfare of individuals and public confidence in the government.

Special Factors Affecting Confidentiality Impact Determination: In cases where unauthorized disclosure of taxation information can impede anti-terrorism or other homeland security activities or endanger the lives of agents or informants, the confidentiality impact level is high.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for taxation management information is moderate.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. In addition, the consequences of unauthorized modification or destruction of taxation management information may depend on the urgency with which the information is needed or the immediacy with which the information is used. In most cases, it is unlikely that the information will be needed urgently or acted upon immediately. Also, the adverse effects of unauthorized modification or destruction of taxation management information on overall agency mission functions is expected to be limited.

Special Factors Affecting Integrity Impact Determination: There is a potential for tax code enforcement, other law enforcement, or anti-terrorism actions being taken based on modified or incomplete information. Also, unauthorized modification or destruction of taxation management information may result in distribution of false and misleading information. Such events can be expected to adversely affect individuals, operations, and/or public confidence in the agency. This can significantly degrade the taxation management mission capability. In extreme cases (e.g., misidentification of an informant), the consequences can be life threatening. In such cases, a high integrity impact may exist.

11 Such information would have a high confidentiality default confidentiality impact rating.
Recommended Integrity Impact Level: The provisional integrity impact level recommended for taxation management information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the taxation management information. Taxation management processes are generally tolerant of limited delays. In most cases, disruption of access to taxation management information can be expected to have only a limited adverse effect on overall agency operations, agency assets, or individuals. However, even temporary loss of availability of taxation management information is likely to have an adverse effect on public confidence in the agency and on Federal government cash flow.

Special Factors Affecting Availability Impact Determination: While most cases will result in only limited consequences, repeated disruptions can have a serious adverse effect on public confidence in the agency. This can significantly degrade the taxation management mission capability. In such cases, the availability impact might be moderate. Loss of availability of significant amounts of taxation management information over long periods of time can do serious harm to Federal government operations. The economic ramifications would potentially be severe.

Recommended Availability Impact Level: The provisional availability impact level recommended for taxation management information is low.

C.2.8.7 Central Records and Statistics Management Information Type

Central Records and Statistics Management involves the operations surrounding the management of official documents, statistics, and records for the entire Federal Government. This information type is intended to include information and information systems associated with the management of records and statistics for the Federal government as a whole, such as the records management performed by NARA or the statistics and data collection performed by the Bureau of the Census. Note: Many agencies perform records and statistics management for a particular business function and as such should be mapped to the service support, management, or mission area associated with that business function. The central records and statistics management information type is intended for functions performed on behalf of the entire Federal government. The recommended security categorization for the central records and statistics management information type is as follows:

Security Category = {confidentiality, Moderate}, (integrity, Low), (availability, Low)}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of central records and statistics management information on the ability of responsible agencies to manage official documents, statistics, and records for the entire Federal Government. Unauthorized disclosure of
raw data and other source information for central records and statistics management operations is likely to violate the Privacy Act of 1974 and other regulations applicable to the dissemination of personal and government information. (The provisional impact levels for personnel information are documented in the Personal Identity and Authentication, Income, Representative Payee, and Entitlement Event information types.)

Special Factors Affecting Confidentiality Impact Determination: Unauthorized disclosure of some centrally managed records can pose a threat to human life or a loss of major assets. In such cases, the confidentiality impact is high.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for central records and statistics management information is moderate.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. In addition, the consequences of unauthorized modification or destruction of central records and statistics management information may depend on the urgency with which the information is needed or the immediacy with which the information is used. In most cases, it is unlikely that the information will be time-critical or acted upon immediately.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for central records and statistics management information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the central records and statistics management information. Central records and statistics management processes are generally tolerant of reasonable delays. Generally, disruption of access to central records and statistics management information can be expected to have only a limited adverse effect on agency operations, agency assets, or individuals.

Recommended Availability Impact Level: The provisional availability impact level recommended for central records and statistics management information is low.

C.2.8.8 Income Information

Income information includes all the wages, self-employment earnings, savings data and other financial resources information that is needed to help determine the amount of Retirement, Survivor, or Disability benefits that individuals may be entitled to receive or not receive from the Supplementary Security Income or RSDI Title II Programs. In most cases, the impact levels are based on the effects of unauthorized disclosure, modification, or loss of availability of income information on the ability of the Federal government to identify citizen entitlements and
obligations and to protect individuals against identity theft and the Federal government against fraud. The recommended security categorization for the income information type is as follows:

Security Category = \{(\text{confidentiality, Moderate}), (\text{integrity, Moderate}), (\text{availability, Moderate})\}

Confidentiality

The confidentiality impact level is based on the effects of unauthorized disclosure of income information on the ability of the Federal government to identify citizen entitlements and obligations and to protect individuals against identity theft and the Federal government against fraud. Unauthorized disclosure of raw data and other source information for benefits determination and revenue collection operations is likely to violate the Privacy Act of 1974 and other regulations applicable to the dissemination of personal and government information. Unauthorized disclosure of centrally managed income information can have a serious adverse effect on agency missions. Very large aggregate tort awards can result from large-scale disclosure of income information. Therefore, for agencies that manage large income information involving records of the general public, the provisional confidentiality impact level can be expected to be at least \text{moderate}.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for income information is \text{moderate}.

Integrity

The integrity impact level is based on the specific purpose to which income information is put; and not on the time required to detect the modification or destruction of information. In the case of very large data bases containing income information relating to the general public, there is a significant probability that erroneous actions will be taken affecting the benefits entitlements or liabilities (e.g., tax liabilities) of large numbers of individuals. This can result in at least short-term financial hardship for citizens. It can also be expected to result in very serious disruption of the agency operations due to large time and resource requirements for taking corrective actions. In such cases, the integrity impact level would be at least \text{moderate}.

Special Factors Affecting Integrity Impact Determination: In the case of smaller organizations, and where the information affected is limited to employees, the consequences may justify only a low provisional impact rating.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for income information is \text{moderate}.

Availability

The availability impact level is based on the specific purpose to which income information is put; and not on the time required to re-establish access to the income information. Benefits determination and liability calculation (e.g., taxation) \text{processes} are generally tolerant of
reasonable delays. In many cases, disruption of access to income information can be expected to have only a limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Availability Impact Determination: In the case of very large data bases containing income information relating to the general public, there is a significant probability that processing delays will affect the benefits entitlements or liabilities (e.g., tax liabilities) of large numbers of individuals. The larger the number of records affected, the longer the delays that can be expected to result. This can result in financial hardship for citizens and in serious disruption of the agency operations due to large time and resource requirements for backlog processing. In such cases, the availability impact level would be at least moderate. In the case of permanent loss of records, the impact might even be high.

Recommended Availability Impact Level: The provisional availability impact level recommended for income information is moderate.

C.2.8.9 Personal Identity and Authentication Information

Personal identity and authentication information includes that information necessary to ensure that all persons who are potentially entitled to receive any federal benefit are enumerated and identified so that Federal agencies can have reasonable assurance that they are paying or communicating with the right individuals. This information include individual citizen’s Social Security Numbers, names, dates of birth, places of birth, parents’ names, etc. The recommended security categorization for the personal identity and authentication information type is as follows:

Security Category = {\{confidentiality, Moderate\}, \{integrity, Moderate\}, \{availability, Moderate\}}

Confidentiality

The confidentiality impact level is based on the effects of unauthorized disclosure of personal identity and authentication information on the ability of Federal agencies to determine that communications with and payments to individuals are being made with or to the correct individuals - and to protect individuals against identity theft and the Federal government against fraud. Unauthorized disclosure of raw data and other source information for identity authentication operations is likely to violate the Privacy Act of 1974 and other regulations applicable to the dissemination of personal and government information. There are many cases in which unauthorized disclosure of personal identity and authentication information will have only a limited adverse effect on government operations, assets, or individuals. However, the potential for use of such information by criminals to perpetrate identity theft and related fraud can do serious harm to individuals. Unauthorized disclosure of centrally managed personal identity and authentication information, such as passport and visa control databases can have a serious adverse effect on agency missions.

---

12 Persons conducting sensitive or payment related business with the government must identify themselves to the level prescribed by appropriate governing directives using such data.
Special Factors Affecting Confidentiality Impact Determination: Very large aggregate tort awards can result from large-scale disclosure of personal identity and authentication information. For agencies that manage large income information involving records of the general public, the provisional confidentiality impact level can be expected to be at least moderate. Where personal identity and authentication information is used in controlling access to facilities (e.g., Federal facilities, critical infrastructure facilities, key national assets) or for border control purposes, the consequences of unauthorized disclosure that permits credentials forgery can justify a high impact assignment.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for personal identity and authentication information is moderate.

Integrity

The integrity impact level is based on the specific purpose to which personal identity and authentication information is put; and not on the time required to detect the modification or destruction of information. In the case of very large databases containing personal identity and authentication information relating to the general public, there is a significant probability that erroneous actions will be taken affecting benefits entitlements of or access to facilities by large numbers of individuals. In the case of benefits, this can result in at least short-term financial hardship for citizens. It can also be expected to result in very serious disruption of the agency operations due to large time and resource requirements for taking corrective actions.

Special Factors Affecting Integrity Impact Determination: In the case of smaller organizations, and where the information affected is limited to employees, there will still be an impact, but the consequences may justify only a low provisional impact rating. Where a data modification permits access to facilities (or ingress into the United States) by individuals to whom access should be prohibited, the integrity impact could be high.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for personal identity and authentication information is moderate.

Availability

The availability impact level is based on the specific purpose to which personal identity and authentication information is put; and not on the time required to re-establish access to the personal identity and authentication information. Benefits determination processes are generally tolerant of reasonable delays. In many cases, disruption of access to personal identity and authentication information can be expected to have only a limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Availability Impact Determination: In the case of very large data bases containing personal identity and authentication information relating to the general public, there is a significant probability that processing delays will affect the benefits entitlements of or access to
facilities by large numbers of individuals. The larger the number of records affected, the longer the delays that can be expected to result. This can result in financial hardship for citizens and in serious disruption of the agency operations due to large time and resource requirements for backlog processing. In such cases, the availability impact level would be at least moderate. In the case of permanent loss of records or access to facilities by emergency personnel, the impact might even be high.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for personal identity and authentication information is moderate.

### C.2.8.10 Entitlement Event Information

Entitlement event information includes information about events such as death and date of occurrence, date of a disabling event and the relating data that can reasonably prove the severity of such disability, proof of age for retirement benefits, birth and relationship of spouse and/or children who may be entitled to benefits only as auxiliaries of the primary beneficiary, and other related information needed to process a claim for benefits. This also includes means-related information required to administer all the means related benefits associated with the Title XVI (Supplementary Security Income Program) and the new drug provisions of the recently revised Medicare Program. The recommended security categorization for the entitlement event information type is as follows:

**Security Category** = \{(confidentiality, Moderate), (integrity, Moderate), (availability, Moderate)\}

**Confidentiality**

The confidentiality impact level is based on the effects of unauthorized disclosure of entitlement event information on the ability of the Federal government to establish qualifications of individuals to receive government benefits - and to protect individuals and the Federal government against fraud. Unauthorized disclosure of raw data and other source information for entitlement operations is likely to violate the Privacy Act of 1974 and other regulations applicable to the dissemination of personal information.

Unauthorized disclosure of centrally managed entitlement event information can have a serious adverse effect on agency missions. Significant hardships for individuals and very large aggregate tort awards against the government can result from large-scale disclosure of some entitlement event information. Therefore for agencies that manage large income information involving records of the general public, the provisional confidentiality impact level can be expected to be at least moderate.

**Recommended Confidentiality Impact Level:** The provisional confidentiality impact level recommended for entitlement event information is moderate.
Integrity

The integrity impact level is based on the specific use of the entitlement event information and not on the time required to detect the modification or destruction of information. In the case of very large databases containing entitlement event information relating to the general public, there is a significant probability that erroneous actions will be taken affecting the benefits entitlements of large numbers of individuals. This can result in at least short-term financial hardship for citizens. It can also be expected to result in serious disruption of the agency operations due to the time and resource requirements for taking corrective actions. In such cases, the integrity impact level would be at least moderate.

Special Factors Affecting Integrity Impact Determination: In the case of smaller organizations, and where the information affected is limited to employees, the consequences may justify only a low provisional impact rating.
Recommended Integrity Impact Level: The provisional integrity impact level recommended for entitlement event information is moderate.

Availability

The availability impact level is based on the specific use of the entitlement event information and not on the time required to re-establish access to the income information. Benefits determination processes are generally tolerant of reasonable delays. In many cases, disruption of access to entitlement event information can be expected to have only a limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Availability Impact Determination: In the case of very large data bases containing entitlement event information relating to the general public, there is a significant probability that processing delays will affect the benefits entitlements of large numbers of individuals. The larger the number of records affected, the longer the delays that can be expected to result. This can result in financial hardship for citizens. It can also result in very serious disruption of the agency operations due to large time and resource requirements for backlog processing. In such cases, the availability impact level would be at least moderate. In the case of permanent loss of records, the impact might even be high.

Recommended Availability Impact Level: The provisional availability impact level recommended for income information is moderate.

C.2.8.11 Representative Payee Information

Representative payee information includes the information required to determine the need for representative payees and the data that is gathered to make the determination of who should serve as the representative payee for all beneficiaries of federal benefits who are unable to manage their own funds. This also includes accountability information required to provide reasonable assurance that the funds are being used appropriately for the well being of entitled individuals. The recommended security categorization for the representative payee information type is as follows:
Security Category = \{(\text{confidentiality}, \text{Moderate}), (\text{integrity}, \text{Moderate}), (\text{availability}, \text{Moderate})\}

Confidentiality

The confidentiality impact level is based on the effects of unauthorized disclosure of representative payee information on the ability of the Federal government to determine that entitlement funds are being used appropriately for the well being of entitled individuals - and to protect individuals against identity theft and the Federal government against fraud. Unauthorized disclosure of data for representative payee operations is likely to violate the Privacy Act of 1974 and other regulations applicable to the dissemination of personal information.

Unauthorized disclosure of centrally managed representative payee information can have a serious adverse effect on agency missions and on large numbers of individuals. Great hardship for individuals and very large aggregate tort awards against the government can result from large-scale disclosure of representative payee information. Therefore, in the case of large representative payee information databases, the provisional confidentiality impact level can be expected to be at least \textit{moderate}.

\textbf{Recommended Confidentiality Impact Level:} The provisional confidentiality impact level recommended for representative payee information is \textit{moderate}.

Integrity

The integrity impact level is based on the specific use of the payee information and not on the time required to detect the modification or destruction of information. In the case of very large databases containing representative payee information relating to the general public, there is a significant probability that erroneous actions will be taken affecting the benefits payments to large numbers of individuals. This can result in at least short-term financial hardship for our most vulnerable citizens. Loss of integrity can result in serious disruption of the agency operations. In such cases, the integrity impact level would be at least \textit{moderate}.

\textbf{Special Factors Affecting Integrity Impact Determination:} In the case of fraudulent diversion of payments intended for particularly dependent individuals, there can be life-threatening consequences. In such cases, a high integrity impact rating may be justified.

\textbf{Recommended Integrity Impact Level:} The provisional integrity impact level recommended for representative payee information is \textit{moderate}.

Availability

The availability impact level is based on the specific use of the representative payee information and not on the time required to re-establish access to the representative payee information. Benefits payment \textit{processes} are not necessarily tolerant of delays. In many cases, disruption of access to representative payee information can be expected to have a very serious adverse effect on individuals.
Special Factors Affecting Availability Impact Determination: In the case of very large data bases containing representative payee information relating to the general public, there is a significant probability that processing delays will affect the benefits payments to large numbers of individuals. The larger the number of records affected, the longer the delays that can be expected to result. This can result in financial hardship for some individuals and in serious disruption of agency operations. In such cases, the availability impact level would be at least moderate. In the case of permanent loss of records, the impact might even be high.

Recommended Availability Impact Level: The provisional availability impact level recommended for representative payee information is moderate.

C.3 Rationale and Factors for Government Resource Management Information

Resource management functions are the back office support activities that enable the government to operate effectively. Security objectives and impacts for resource management functions are determined by the direct service missions and constituencies ultimately being supported. It is likely that all Federal government information systems store, process, and operate under the control of IT infrastructure maintenance information (e.g., password files and file and network access settings). A basic set of security controls will apply to this information and processes to combat potential corruption, misuse, or abuse of system information and processes.

C.3.1 Administrative Management

Administrative Management involves the day-to-day management and maintenance of the internal infrastructure. Administrative information is usually routine and is relatively low impact. However, some administrative management information is either very sensitive (e.g., logistics management for nuclear or other hazardous materials, security management information, and security clearance management information) or critical (e.g., inventory control and logistics management information needed to support time-critical operations). National security information is outside the scope of this guideline. [See Appendix A, Glossary of Terms, for a definition of national security information/systems.] Routine administrative management information systems that do not process classified information are not usually designated national security systems, even if they are critical to the direct fulfillment of military or intelligence missions.13

C.3.1.1 Facilities, Fleet, and Equipment Management Information Type

Facilities, Fleet, and Equipment management involves the maintenance, administration, and operation of offices buildings, fleets, machinery, and other capital assets considered as possessions of the Federal government. Impacts to some information and information systems associated with facilities, fleet, and equipment management may affect the security of some key national assets (e.g., nuclear power plants, dams, and other government facilities). The following
recommended provisional categorization of the facilities, fleet, and equipment management information type is particularly subject to change where critical infrastructure elements or key national assets are involved:

Security Category = \{(confidentiality, Low\textsuperscript{13}), (integrity, Low\textsuperscript{14}), (availability, Low\textsuperscript{14})\}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of facilities, fleet, and equipment management information on the ability of responsible agencies to maintain, administer, and operate offices buildings, fleets, machinery, and other capital assets of the Federal government. The consequences of unauthorized disclosure of most facilities, fleet, and equipment management information are likely to have only a limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: Information associated with maintenance, administration, and operation of many Federal government office buildings, transportation fleets, and operational facilities can be of material use to criminals seeking to gain access to Federal facilities in order to facilitate or perpetrate fraud, theft, or some other criminal enterprise (e.g., extract inmates from Federal detention facilities). In this case, unauthorized disclosure of information can have a serious adverse effect on agency operations, agency assets, or individuals. The consequent confidentiality impact would be at least moderate.

Information associated with maintenance, administration, and operation of other Federal government office buildings, transportation fleets, and operational facilities can be of material use to terrorists seeking to penetrate and/or commandeer such facilities as part of operations intended to harm critical infrastructures, key national assets, or people. Examples of this information include information that reveals specific measures respecting limiting access to and operation of government aircraft, maintenance and administrative information that might permit either covert pedestrian or unimpeded vehicular access to government buildings (e.g., Congressional office buildings, FBI Headquarters, the National Archives, Smithsonian Institution buildings, dams, nuclear power plants, etc.), and schedules/itineraries of government surface transportation fleets (e.g., for transport of executive personnel or hazardous materials). In these cases, the confidentiality impact must be considered to be high.

[Some information regarding transportation and storage of nuclear materials is classified as national security related and is outside the scope of this guideline. Other information, such as Nuclear Regulatory Commission “SAFEGUARDS” information is not national security information, but must have a high confidentiality impact level.]

\textsuperscript{13} Impact level is usually high where safety of major critical infrastructure components or key national assets is at stake.

\textsuperscript{14} Impact level is usually moderate to high in emergency situations where time-critical processes affecting human safety or major assets are involved.
Anticipated or realized unauthorized disclosure of one agency’s facilities, fleet, and equipment management information by another agency could result in negative impacts on cross-jurisdictional coordination within the facilities, fleet, and equipment management infrastructure and the general effectiveness of organizations tasked with facilities, fleet, and/or equipment management.

**Recommended Confidentiality Impact Level:** The provisional confidentiality impact level recommended for facilities, fleet, and equipment management information is **low**.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. In addition, the consequences of unauthorized modification to or destruction of facilities, fleet, and equipment management information may depend on the urgency with which the information is needed or the immediacy with which the information is used. In most cases, it is unlikely that the information will be time-critical or acted upon immediately.

**Special Factors Affecting Integrity Impact Determination:** Exceptions may include emergency response aspects of disaster management or leadership protection. In such cases, the integrity impact level associated with unauthorized modification or destruction of facilities, fleet, and equipment management information can be **high**.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for facilities, fleet, and equipment management information is **low**.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the facilities, fleet, and equipment management information. Functions supported by most facilities, fleet, and equipment management information is tolerant of delays. Typically, disruption of access to facilities, fleet, and equipment management information has a limited adverse effect on agency operations (including mission functions and public confidence in the agency), agency assets, or individuals.

**Special Factors Affecting Availability Impact Determination:** Exceptions may include emergency response aspects of disaster management or leadership protection. In such cases, delays measured in seconds can cost lives and major property damage. Consequently, the availability impact level associated with unauthorized modification or destruction of facilities, fleet, and equipment management information needed to respond to emergencies will be **high**.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for facilities, fleet, and equipment management information is **low**.
C.3.1.2 Help Desk Services Information Type

Help Desk Services involves the management of a service center to respond to government employees' technical and administrative questions. Subject to exception conditions described below, the recommended provisional security categorization for the help desk service information type is as follows:

Security Category = {((confidentiality, Low), (integrity, Low), (availability, Low))}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of help desk service information on the ability of responsible agencies to manage of service center responses to government employees' technical and administrative questions. The consequences of unauthorized disclosure of most help desk service information are likely to have only a limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: Information associated with service center responses can provide useful information to adversaries seeking to penetrate Federal systems. If the contents or functions of a system have sufficient sensitivity and/or criticality, a moderate or high impact level may be considered for help desk information.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for help desk service information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. In addition, the consequences of unauthorized modification to or destruction of help desk service information usually depends on the urgency with which the information is needed or the immediacy with which the information is used. In most cases, it is unlikely that the information will be time-critical or acted upon immediately.

Special Factors Affecting Integrity Impact Determination: In relatively few cases would the consequences of unauthorized modification of help desk information that is acted upon immediately result in more than limited damage to agency operations or assets. Exceptions may include bogus information regarding operation of communications processors, data base systems, or other systems necessary to emergency response aspects of disaster management, criminal apprehension, air traffic control or other time-critical missions. In such cases, a moderate or high integrity impact level might be considered for unauthorized modification or destruction of help desk service information.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for help desk service information is low.
Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to help desk service information. Typically, disruption of access to help desk service information will have a limited adverse effect on agency operations (including mission functions and public confidence in the agency), agency assets, or individuals.

Special Factors Affecting Availability Impact Determination: Exceptions may include emergency response components of disaster management or other time-critical functions (e.g., some systems that support air traffic control functions). Consequently, the availability impact level associated with unauthorized modification or destruction of help desk service information needed to respond to emergencies can be high.

Recommended Availability Impact Level: The provisional availability impact level recommended for help desk service information is low.

C.3.1.3 Security Management Information Type

Security Management involves the physical protection of an organization’s personnel, assets, and facilities. Impacts to some information and information systems associated with security management may affect the security of some critical infrastructure elements and key national assets (e.g., nuclear power plants, dams, and other government facilities). Impact levels associated with security information directly relate to the potential threat to human life associated with the asset(s) being protected (e.g., consequences to the public of terrorist access to dams or nuclear power plants). The following recommended categorization of the facilities, fleet, and equipment management information type is subject to change where critical infrastructure elements or key national assets are involved:

Security Category = {(confidentiality, Moderate), (integrity, Moderate), (availability, Low)}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of security management information on the ability of responsible organizations to physically protect their personnel, assets, and facilities. The consequences of unauthorized disclosure of most security management information depend on the likelihood that the information might jeopardize the physical security of an organization’s assets and the value, and potential for damage of the assets being protected.

Information associated with the physical security of many Federal government office buildings, transportation fleets, and operational facilities can be of material use to criminals seeking to gain access to Federal facilities in order to perpetrate a major crime (e.g., extraction of inmates from Federal detention facilities, theft of commodities market projections, access to information associated with a felony criminal investigation or prosecution, theft of blank license issuing facilities and/or materials, access to competition-sensitive information associated with major procurements, undetected access to national archives or museum properties, access to currency
printing facilities or materials, theft of major currency or bullion storage facilities). In such cases, unauthorized disclosure if information can have a serious adverse effect on agency operations, agency assets, or individuals. Unauthorized disclosure of one agency’s security management information by another agency could result in negative impacts on cross-jurisdictional coordination within the security management infrastructure and the general effectiveness of organizations tasked with physical protection of Federal facilities. The consequences of physical protection failures at most Federal facilities are more likely to result in serious

Special Factors Affecting Confidentiality Impact Determination: Information associated with security management at other Federal government office buildings, transportation fleets, and operational facilities can be of material use to terrorists seeking to penetrate and/or commandeer such facilities as part of operations intended to harm critical infrastructures, key national assets, or people. Examples of more potentially damaging information includes information that reveals specific measures for protecting government aircraft, information that might permit access that creates an opportunity to bomb a government building (e.g., Congressional office buildings, FBI Headquarters, the National Archives, Smithsonian Institution buildings, dams, nuclear power plants, etc.), and leadership protection details that could result in assassination opportunities. In these cases, the confidentiality impact must be high.

Unauthorized disclosure of security management information that can be reasonably expected to pose a serious threat to human life (including those of security guards) must also be assigned a high confidentiality impact. [Security management information associated with some Federal government assets is classified. The classified information is national security related and is outside the scope of this guideline.] Other security management information, such as that affecting Nuclear Regulatory Commission “SAFEGUARDS” or Internal Revenue Service “Limited For Official Use Only” information is not national security information, but must be treated as having high confidentiality impact.

Recommended Confidentiality Impact Level: The confidentiality impact level recommended for most security management information is moderate.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of security management information may depend on the urgency with which the information is needed or the immediacy with which the information is used. In cases of intrusion indications, security management information can be time-critical.

---

\[15\] A loss of confidentiality that causes a significant degradation in mission capability, places the agency at a significant disadvantage, or results in major damage to assets, requiring extensive corrective actions or repairs.
The consequences of unauthorized modification or destruction of time-critical security management information can reasonably be expected to result in physical security vulnerabilities. The range of potential consequences is covered above in Confidentiality.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for most security management information is *moderate*.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the security management information. Functions supported by most security management information are tolerant of delays. Typically, disruption of access to security management information will have a limited adverse effect on agency operations (including mission functions and public confidence in the agency), agency assets, or individuals.

**Special Factors Affecting Availability Impact Determination:** Exceptions may include alarm and alert communications and interconnections for security management systems and automated control systems that support security management processes (e.g., door and gate operations in buildings to which access is limited such as detention facilities and many Federal office buildings. For these exceptions, the data is time-critical. The availability impact level associated with unauthorized modification or destruction of such alarm, alert, and automated process security management information may be *high*.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for security management information is *low*.

**C.3.1.4 Travel Information Type**

Travel involves the activities associated with planning, preparing, and monitoring of business related travel for an organization’s employees. The following security categorization is recommended for the travel information type:

Security Category = \{(confidentiality, Low), (integrity, Low), (availability, Low)\}

**Confidentiality**

The confidentiality impact level is the effect of unauthorized disclosure of travel information on the abilities of responsible agencies to plan, prepare, and monitor business related travel for the organization’s employees. Generally, the consequences of unauthorized disclosure of the majority of travel information will result in a limited adverse effect on agency operations, agency assets, or individuals.

**Special Factors Affecting Confidentiality Impact Determination:** Unauthorized disclosure of employee identification information coupled with credit information (e.g., name, social security number, credit card number) can result in moderate to serious consequences for individuals and local
organizations. The Privacy Act Information provisional impact levels are documented in the Personal Identity and Authentication information type.

Unauthorized disclosure of information concerning carrier/provider contract negotiations can have significant financial or legal consequences and put an agency at a serious disadvantage. Also, severe consequences may result from unauthorized disclosure of information regarding leadership travel plans that might jeopardize personnel security or the confidentiality of sensitive operations plans. In the most sensitive cases, the confidentiality impact level may be high.

**Recommended Confidentiality Impact Level:** The provisional confidentiality impact level recommended for travel information is low.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of travel information partially depends on the urgency with which the information is normally needed and the consequences of aborted or modified travel.

In the case of travel planning information, the effects of such modifications are generally limited with respect to agency mission capabilities or assets. There may be scenarios in which integrity compromise of travel information may expose Federal leadership to harm or endanger a sensitive or critical operation. However, most such scenarios are dealt with in the context of impacts to mission operations information (Appendix D).

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for travel information is low.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the travel information. The nature of travel processes is usually tolerant of reasonable delays, at least on the agency mission scale.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for travel information is low.

**C.3.1.5 Workplace Policy Development and Management Information Type (Intra-Agency Only)**

Workplace policy development and management includes all activities required to develop and disseminate workplace policies such as dress codes, time reporting requirements, telecommuting, etc. The following security categorization is recommended for the workplace policy development and management information type:
Security Category = \{(\text{confidentiality, Low}), (\text{integrity, Low}), (\text{availability, Low})\} \\

Confidentiality \\
The confidentiality impact level is the effect of unauthorized disclosure of workplace policy development and management information on the abilities of responsible agencies to develop and disseminate workplace policies such as dress codes, time reporting requirements, and telecommuting. The consequences of unauthorized disclosure of the majority of workplace policy development and management information will result in a limited adverse effect on agency operations, agency assets, or individuals. \\

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for workplace policy development and management information is low. \\

Integrity \\
The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification to or destruction of workplace policy development and management information depends primarily on the criticality of the information with respect to agency mission capability, protection of agency assets, and safety of individuals. Typically, the effects of modification or deletion of this information are generally limited. \\

Recommended Integrity Impact Level: The provisional integrity impact level recommended for workplace policy development and management information is low. \\

Availability \\
The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the workplace policy development and management information. Generally, workplace policy development and management processes are tolerant of reasonable delays. \\

Recommended Availability Impact Level: The provisional availability impact level recommended for workplace policy development and management information is low. \\

C.3.2 Financial Management \\
Financial management involves the aggregate set of accounting practices and procedures that allow for the accurate and effective handling of all government revenues, funding, and expenditures. Confidentiality impacts associated with financial management information are generally associated with the sensitivity of the existence of specific projects, programs, and/or technologies that might be revealed by unauthorized disclosure of information. For integrity, temporary successful frauds can affect agency image, and corrective actions are often disruptive to agency operations. Permanent loss/unavailability of financial management information can cripple agency operations.
C.3.2.1 Assets and Liability Management Information Type

Assets and Liability Management provide accounting support for the management of assets and liabilities of the Federal government. Assets and liability management activities measure the total cost and revenue of Federal programs, and their various elements, activities and outputs. Assets and liability management is essential for providing accurate program measurement information, performance measures, and financial statements with verifiable reporting of the cost of activities. The recommended security categorization for the assets and liability management information type is as follows:

Security Category = \{(confidentiality, Low), (integrity, Low), (availability, Low)\}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of assets and liability management information on the ability of responsible agencies to provide accounting support for the management of assets and liabilities of the Federal government. Generally, the unauthorized disclosure of assets and liability management information will have only a limited adverse effect on agency operations, assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: Unauthorized disclosure of some asset and liability management information for programs that process high-impact information can assist some criminals to evade enforcement activities. Examples range from tax evasion resulting from unauthorized disclosure of information regarding audit budgets to unauthorized disclosure of budget details for specific border control, antiterrorism, or witness protection expenditures. Where actions taken based on unauthorized disclosure of assets and liability management details pose a threat to human life or a loss of major assets, the confidentiality impact is high.

Recommended Confidentiality Impact Level: The recommended provisional confidentiality impact level for assets and liability management information is low.

Integrity

The accuracy of assets and liability management information is essential to providing accurate program measurement information, performance measures, and financial statements with verifiable reporting of the cost of activities. The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. Also, the consequences of unauthorized modification or destruction of assets and liability management information may depend on the urgency with which the information is needed. Assets and liability management activities are not generally time-critical and a compromise would have only limited adverse effects on agency operations, agency assets, or individuals.
Special Factors Affecting Integrity Impact Determination: If reports based on modified or incomplete information are circulated, the adverse effect on mission functions and public confidence in the agency can be serious. In such cases, the integrity impact would be moderate.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for assets and liability management information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the assets and liability management information. Assets and liability management processes are generally tolerant of delay. Typically, disruption of access to assets and liability management information can be expected to have only a limited adverse effect on agency operations, agency assets, or individuals.

Recommended Availability Impact Level: The provisional availability impact level recommended for assets and liability management information is low.

C.3.2.2 Reporting and Information Information Type

Reporting and Information includes providing financial information, reporting and analysis of financial transactions. Financial reporting includes the activities necessary to support: management’s fiduciary role; budget formulation and execution functions; fiscal management of program delivery and program decision making; and internal and external reporting requirements. The recommended security categorization for the “financial reporting and information” information type is as follows:

Security Category = {(confidentiality, Low), (integrity, Moderate), (availability, Low)}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of financial reporting information on an agency’s ability to provide financial information and reporting and analysis of financial transactions. Typically, the unauthorized disclosure of financial reporting information will have only a limited adverse effect on agency operations, assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: Unauthorized disclosure of financial reporting information for programs that process high-impact information can give adversaries damaging insights into details of agency plans, priorities, and operations. In relatively rare cases, actions taken based on unauthorized disclosure of financial reporting details pose a threat to human life or a loss of major assets, so the confidentiality impact is high.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for reporting and information is low.
Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. Financial reporting activities are not generally time-critical. Many integrity compromises would result in limited adverse effects on agency operations, agency assets, or individuals.

If planning documents, proposals, or reports based on modified or incomplete information are circulated; the adverse effect on mission functions or public confidence in the agency can be serious. In most cases, serious adverse effects on agency operations, agency assets, or individuals can be expected. The extensive audit and investigative actions that often follow discovery of an agency’s use of falsified financial reports or omission of financial reporting data can place the agency at a significant disadvantage.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for reporting and information is moderate.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the assets and liability management information. Financial reporting processes are generally tolerant of delay. Typically, disruption of access to financial reporting information can be expected to have only a limited adverse effect on agency operations, agency assets, or individuals.

Recommended Availability Impact Level: The provisional availability impact recommended for reporting and information is low.

C.3.2.3 Budget and Finance Information Type

Budget and Finance includes the management of the Federal budget process including the development of plans and programs, budgets, and performance outputs and outcomes as well as financing Federal programs and operations through appropriation and apportionment of direct and reimbursable spending authority, fund transfers, investments and other financing mechanisms. Budget and financial management includes the establishment of a system for ensuring an organization does not obligate or disburse funds in excess of those appropriated or authorized. The recommended security categorization for the budget and finance information type is as follows:

Security Category = {\{confidentiality, Moderate\}, \{integrity, Moderate\}, \{availability, Low\}}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of budget and finance information on the ability of responsible agencies to develop plans and programs, budgets, and performance outputs and outcomes; and to finance Federal programs and operations through
appropriation and apportionment of direct and reimbursable spending authority, fund transfers, investments and other financing mechanisms.

In general, unauthorized disclosure of budget and finance information, particularly of budget allocations for specific programs or program elements, can be seriously detrimental to government interests in procurement processes. In many instances, such unauthorized disclosure is prohibited by executive order or by law (e.g., Federal Acquisition Regulations). Premature release of draft budget and finance information can yield advantages to competing interests and seriously endanger agency operations – or even agency mission.

**Special Factors Affecting Confidentiality Impact Determination:** Unauthorized disclosure of budget and finance information for programs that process classified or high-impact information can give adversaries damaging insights into details of agency plans, priorities, and operations. (Classified programs and systems are outside the scope of this guideline.) In rare cases, actions taken based on unauthorized disclosure of funds management details can pose a threat to human life or a loss of major assets, so the confidentiality impact would be high.

**Recommended Confidentiality Impact Level:** While, in many cases, unauthorized disclosure of funds management information will have only a limited adverse effect on agency operations, assets, or individuals, the potential for serious harm is such that the provisional confidentiality impact level recommended for budget and finance information is moderate.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. Budget and finance activities are not generally time-critical. An accumulation of small changes to data or deletion of small entries can result in budget shortfalls or cases of excessive obligations or disbursements.

**Recommended Integrity Impact Level:** In most cases, the adverse effects of consequent negative publicity on mission functions, image or public confidence in the agency can be serious. Therefore, the provisional integrity impact level recommended for budget and finance information is moderate.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the budget and finance information. Budget and finance processes are generally tolerant of delay. Typically, disruption of access to budget and finance information can be expected to have only a limited adverse effect on agency operations, agency assets, or individuals.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for budget and finance information is low.
C.3.2.4 Accounting Information Type

Accounting entails accounting for assets, liabilities, fund balances, revenues and expenses associated with the maintenance of Federal funds and expenditure of Federal appropriations (Salaries and Expenses, Operation and Maintenance, Procurement, Working Capital, Trust Funds, etc.), in accordance with applicable Federal standards (FASAB, Treasury, OMB, GAO, etc.). The recommended security categorization for the accounting information type is as follows:

Security Category = {(confidentiality, Low), (integrity, Moderate), (availability, Low)}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of accounting information on the abilities of government agencies to maintain Federal funds and expenditure of Federal appropriations in accordance with applicable Federal standards. Unauthorized disclosure of accounting information for programs that process classified or high-impact information can give adversaries damaging insights into details of agency plans, priorities, and operations. In most cases, unauthorized disclosure of accounting information will have only a limited adverse effect on agency operations, assets, or individuals. (Classified programs and systems are outside the scope of this guideline.)

Special Factors Affecting Confidentiality Impact Determination: In relatively rare cases, actions taken based on unauthorized disclosure of accounting details can pose a threat to human life or a loss of major assets, so the confidentiality impact would be high.

In some cases, unauthorized disclosure of accounting information can violate proprietary information or other non-disclosure agreements. In such cases, the government may suffer not only a loss of public confidence, but may become vulnerable to legal actions. Where sensitive or proprietary information is involved, the impact of unauthorized disclosure is likely to be moderate. Where the accounting information is involved in an audit associated with suspected fraud or other criminal activities, the investigation may be imperiled. Here too, the impact of unauthorized disclosure is likely to be moderate.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for accounting information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. Accounting activities are not generally time-critical. An accumulation of small changes to data or deletion of small entries can result in cost overruns and other cases of excessive obligations or disbursements. In most cases, the adverse effects of consequent negative publicity and institution of corrective action programs on mission functions and public confidence in the agency can be serious.
Special Factors Affecting Integrity Impact Determination: In some cases, undetected integrity compromises can be extremely expensive to the government and its employees in terms of both monetary losses and loss of reputation.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for accounting information is **moderate**.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the accounting information. Accounting processes are generally tolerant of delay. Typically, disruption of access to accounting information can be expected to have only a limited adverse effect on agency operations, agency assets, or individuals.

Recommended Availability Impact Level: The provisional availability impact level recommended for accounting information is **low**.

**C.3.2.5 Payments Information Type**

Payments include disbursements of Federal funds, via a variety of mechanisms, to Federal and private individuals, Federal agencies, state, local and international Governments, and the private sector, to effect payment for goods and services, or distribute entitlements, benefits, grants, subsidies, loans, or claims. Payment management provides appropriate control over all payments made by or on behalf of an organization, including but not limited to: vendors in accordance with contracts, purchase orders and other obligating documents; state governments under a variety of programs; employees for salaries and expense reimbursements; other Federal agencies for reimbursable work performed; individual citizens receiving Federal benefits; and recipients of Federal loans. The recommended security categorization for the payments information type is as follows:

Security Category = {\{confidentiality, Low\}, \{integrity, Moderate\}, \{availability, Low\}}

**Confidentiality**

The confidentiality impact level is the effect of unauthorized disclosure of payments information on the ability of responsible agencies to provide appropriate control over all payments made by or on behalf of an organization. In most cases, unauthorized disclosure of payments information will have only a limited adverse effect on agency operations, assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: Payment information typically includes information needed for electronic payments such as bank account numbers. Unauthorized access to this type of information could result in significant financial loss for both the Federal government and its payees. Where payment activities are part of an agency’s service delivery mission (e.g., payment of benefits), Privacy Act information and other information
subject to statutory or regulatory dissemination controls must appear in the payment vehicles (e.g., name and social security number on check records). (The provisional impact levels for personnel information are documented in the Personal Identity and Authentication, Income, Representative Payee, and Entitlement Event information types.) In such cases, the confidentiality impact level can be at least moderate. (See C.2.8.8.)

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for payments information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. Payments activities are not generally time-critical. An accumulation of small changes to data or deletion of small entries can result in cost overruns and other cases of excessive disbursements. In most cases, the adverse effects of consequent negative publicity and institution of corrective action programs on mission functions or public confidence in the agency can be serious.

Special Factors Affecting Integrity Impact Determination: Where payment activities are part of an agency’s service delivery mission (e.g., payment of benefits), the consequences of integrity compromises that result in failure of payments to go to the appropriate entity can range from minor to life-threatening. In such cases, the availability impact level can be high. (See C.2.8.11.)

Recommended Integrity Impact Level: For most Federal government payment systems, the provisional integrity impact level recommended for payments information is moderate.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the payments information. Payment processes are generally tolerant of delay. Typically, disruption of access to payments information can be expected to have only a limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Availability Impact Determination: Where payment activities are part of an agency’s service delivery mission (e.g., payment of benefits), the consequences of loss of information availability that result in failure of payments to go to the appropriate entity can range from minor to life-threatening. In such cases, the availability impact level can be moderate or high. (See C.2.8.11.)

Recommended Availability Impact Level: For most Federal government payment systems, the provisional availability impact level recommended for payments information is low.

C.3.2.6 Collections and Receivables Information Type

Collections and Receivables include deposits, fund transfers, and receipts for sales or service.
Receivable management supports activities associated with recognizing and recording debts due to the Government, performing follow-up actions to collect on these debts, and recording cash receipts. The recommended security categorization for the collections and receivables information type is as follows:

**Security Category = {(confidentiality, Low), (integrity, Moderate), (availability, Low)}**

**Confidentiality**

The confidentiality impact level is the effect of unauthorized disclosure of collections and receivables information on the ability of responsible agencies to recognize and record debts due to the Government, perform follow-up actions to collect on these debts, and record cash receipts. In most cases, unauthorized disclosure of receivable management information will have only a limited adverse effect on agency operations, assets, or individuals.

**Recommended Confidentiality Impact Level**: The provisional confidentiality impact level recommended for collections and receivables information is **low**.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. An accumulation of small changes to data or deletion of small entries can result in revenue shortfalls. In most cases, the adverse effects of consequent negative publicity and institution of corrective action programs on mission functions or public confidence in the agency can be serious.

**Recommended Integrity Impact Level**: The provisional integrity impact recommended for collections and receivables information is **moderate**.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the collections and receivables information. Collections and receivables processes are generally tolerant of delay. Typically, disruption of access to collections and receivables information can be expected to have only a limited adverse effect on agency operations, agency assets, or individuals.

**Recommended Availability Impact Level**: The provisional availability impact level recommended for collections and receivables information is **low**.

**C.3.3 Human Resources**

Human resources activities involve all activities associated with the recruitment and management of personnel.
C.3.3.1 Benefits Management Information Type

Benefits management involves the administration of entitled benefits for federal personnel such as retirement, medical, disability, and insurance. The following security categorization is recommended for the benefits management information type:

Security Category = {(confidentiality, Low), (integrity, Low), (availability, Low)}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of benefits management information on the abilities of responsible agencies to administer entitled benefits for federal personnel such as retirement, medical, disability, and insurance. The consequences of unauthorized disclosure of the majority of benefits management information will result in a limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: Where more sensitive information is involved, it will probably be personal information subject to the Privacy Act of 1974, the Health Insurance Portability and Accountability Act of 1996, or information that is proprietary to a corporation or other organization. In such cases, the consequences of unauthorized disclosure of benefits management information could be serious (particularly in cases of exposure of large data bases that might reveal private medical information or facilitate identity theft or other financial fraud). (The provisional impact levels for personnel information are documented in the Personal Identity and Authentication, Income, and Entitlement Event information types.) In such cases, the confidentiality impact level would be moderate.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for benefits management information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of benefits management information depends mostly on the criticality of the information with respect to agency mission capability, protection of agency assets, and safety of individuals. In general, the effects of modifications or deletion of this information are generally limited with respect to agency mission capabilities or assets.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for benefits management information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the benefits management information. Typically, benefits management processes are tolerant of reasonable delays.
Recommended Availability Impact Level: The provisional availability impact level recommended for benefits management information is low.

C.3.3.2 Personnel Management Information Type

Personnel Management involves the general management of the federal workforce, including but not limited to functions such as personnel action processing, employee tracking, position classification and management, discipline/grievance, advancement and awards, labor relations, etc. The following security categorization is recommended for the personnel management information type:

Security Category = \{(confidentiality, Low), (integrity, Low), (availability, Low)\}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of personnel management information on the abilities of responsible agencies to manage the federal workforce. The consequences of unauthorized disclosure of the majority of personnel management information will result in a limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: Where more sensitive information is involved, it will probably be personal information subject to the Privacy Act of 1974, the Health Insurance Portability and Accountability Act of 1996, or other laws and executive orders affecting the dissemination of information regarding individuals. (The provisional impact levels for personnel information are documented in the Personal Identity and Authentication, Income, Representative Payee, and Entitlement Event information types.) In such cases, the consequences of unauthorized disclosure of personnel management information could be serious. In such cases, the confidentiality impact level might be moderate. In a few cases (e.g., where some employees are potential targets for retaliation by criminal elements or targets of foreign intelligence organizations), unauthorized disclosure of some personnel management information (e.g., name, address, title, organization, dependents’ information) can have life-threatening consequences and has a high confidentiality impact level.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for personnel management information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of personnel management information depends mostly on the criticality of the information with respect to agency mission capability, protection of agency assets, and safety of individuals. Although there can be serious short-term
effects for individuals, the effects of modifications or deletion of this information are generally limited with respect to agency mission capabilities or assets.

**Special Factors Affecting Integrity Impact Determination:** In some cases (e.g., where an agency’s mission is strongly dependent on organized labor), integrity compromises that adversely affect a significant subset of the workforce can result in work stoppages that adversely affect the agency’s mission. Where interruptions to agency missions can have serious or life-threatening consequences for individuals, the impacts of integrity compromises can be *moderate* or even *high*.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for personnel management information is *low*.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the personnel management information. Typically, personnel management processes are tolerant of reasonable delays.

**Special Factors Affecting Availability Impact Determination:** In some cases (e.g., where an agency’s mission is strongly dependent on organized labor), loss of availability of information that adversely affects a significant subset of the workforce can result in work stoppages that adversely affect the agency’s mission. Where interruptions to agency missions can have serious or life-threatening consequences for individuals, the impacts of availability compromises can be *moderate* or even *high*.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for personnel management information is *low*.

**C.3.3.3 Payroll Management and Expense Reimbursement Information Type**

Payroll management and expense reimbursement involves the administration and determination of federal employee compensation. Note: See *payments* information type for the actual payment of salary and expenses. The recommended security categorization for the payroll management and expense reimbursement information type is as follows:

Security Category = \{(*confidentiality, Low), (*integrity, Low), (*availability, Low)\}

**Confidentiality**

The confidentiality impact level is the effect of unauthorized disclosure of payroll management and expense reimbursement information on the ability of responsible agencies to administer and determine Federal employee compensation. In most cases, unauthorized disclosure of payroll management and expense reimbursement information will have only a limited adverse effect on agency operations, assets, or individuals.
Special Factors Affecting Confidentiality Impact Determination: Where more sensitive information is involved, it will probably be personal information subject to the Privacy Act of 1974. The Privacy Act Information provisional impact levels are documented in the Personal Identity and Authentication information type. In a few cases (e.g., where some employees are potential targets for retaliation by criminal elements or targets of foreign intelligence organizations), unauthorized disclosure of some payroll management and expense reimbursement information (e.g., name, address, title, organization, dependents’ information) can have life-threatening consequences and has a **high** confidentiality impact level.

**Recommended Confidentiality Impact Level:** The provisional confidentiality impact level recommended for payroll management and expense reimbursement information is **low**.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. Payroll management and expense reimbursement activities are not generally time-critical.

Special Factors Affecting Integrity Impact Determination: An accumulation of small changes to data or deletion of small entries can result in excessive disbursements. In some cases, the adverse effects of consequent negative publicity on mission functions or public confidence in the agency can be serious. In some other cases (e.g., where an agency’s mission is strongly dependent on organized labor), integrity compromises that adversely affect a significant subset of the workforce can result in work stoppages that adversely affect the agency’s mission. Where interruptions to agency missions can have serious or life-threatening consequences for individuals, the impacts of integrity compromises can be **moderate** or even **high**.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for payroll management and expense reimbursement information is **low**.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the payroll management and expense reimbursement information. Payment processes are generally tolerant of delay. Typically, disruption of access to payroll management and expense reimbursement information can be expected to have only a limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Availability Impact Determination: In some cases (e.g., where an agency’s mission is strongly dependent on organized labor), loss of availability of information that adversely affects a significant subset of the workforce can result in work stoppages that adversely affect the agency’s mission. Where interruptions to agency missions can have serious or life-threatening consequences for individuals, the impacts of availability compromises can be **moderate** or even **high**.
Recommended Availability Impact Level: The provisional availability impact level recommended for payroll management and expense reimbursement information is \textit{low}.

\textbf{C.3.3.4 Resource Training and Development Information Type}

Resource training and development refers to the active building of capacities in staff members through formal, technical, or other means of education. The recommended security categorization for the resource training and development information type is as follows:

\textbf{Security Category} = \{(\text{confidentiality, Low}), (\text{integrity, Low}), (\text{availability, Low})\}

\textbf{Confidentiality}

The confidentiality impact level is the effect of unauthorized disclosure of resource training and development information on the ability of responsible agencies to build capacities in staff members through formal, technical, or other means of education. In most cases, unauthorized disclosure of resource training and development information will have only a limited adverse effect on agency operations, assets, or individuals.

\textbf{Special Factors Affecting Confidentiality Impact Determination:} Where more sensitive information is involved, it will probably be personal information subject to the Privacy Act of 1974. The Privacy Act Information provisional impact levels are documented in the Personal Identity and Authentication information type. This can result in assignment of a \textit{moderate} impact level to such information.

\textbf{Recommended Confidentiality Impact Level:} The provisional confidentiality impact level recommended for resource training and development information is \textit{low}.

\textbf{Integrity}

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of resource training and development information depends mostly on the criticality of the information with respect to agency mission capability, protection of agency assets, and safety of individuals. Although there can be serious short-term effects for individuals, the effects of modifications or deletion of this information are generally limited with respect to agency mission capabilities or assets.

\textbf{Recommended Integrity Impact Level:} The provisional integrity impact level recommended for resource training and development information is \textit{low}.

\textbf{Availability}

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the payroll management and expense
reimbursement information. Typically, resource training and development processes are tolerant of reasonable delays.

Recommended Availability Impact Level: The provisional availability impact level recommended for resource training and development information is low.

C.3.3.5 Security Clearance Management Information Type

Security clearance management refers to the processes associated with ensuring employees, contractors, and others have been approved to enter Federal buildings, utilize Federal services, and access sensitive information. This includes eligibility determination, badge issuance, clearance tracking, and security verification services. Impacts to some information and information systems associated with security clearance management may affect the security of critical infrastructures and key national assets. Also, although much information associated with security clearance management is national security related (outside the scope of this guideline); security clearance management, as used in this guideline, is not restricted to national security applications. The following security categorization is recommended for the security clearance management information type:

Security Category = \{ (confidentiality, Low), (integrity, moderate), (availability, Low) \}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of security clearance information on the abilities of responsible agencies to manage access eligibility determination, badge issuance, clearance tracking, and security verification services for Federal information and facilities. The consequences of unauthorized disclosure of the majority of security clearance management information can facilitate attempts by terrorists, other criminals, and other unauthorized individuals to enter Federal buildings, utilize Federal services, and access sensitive information. The consequences can range from limited loss of public confidence in an agency to serious or catastrophic adverse effects on agency operations, agency assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: Where terrorist acts are enabled, the confidentiality impact must be high. In cases of critical infrastructure facilities, key national assets, law enforcement facilities, and homeland security facilities, the confidentiality impact must be high.

Recommended Confidentiality Impact Level: For most Federal government systems, only limited harm is expected to result from unauthorized disclosure of security clearance management information. Consequently, the provisional confidentiality impact level recommended for security clearance management information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The
consequences of unauthorized modification or destruction of security clearance information depends primarily on the criticality of the information with respect to agency mission capability, protection of agency assets, and safety of individuals. Modified security clearance management information can be used to facilitate attempts by terrorists, other criminals, and other unauthorized individuals to enter Federal buildings, utilize Federal services, and access sensitive information. The consequences can range from limited loss of public confidence in an agency to serious or catastrophic adverse effects on agency operations, agency assets, or individuals.

Special Factors Affecting Integrity Impact Determination: The consequences of modifications or deletion of security clearance management information may be significant with respect to agency mission capabilities or assets. Where terrorist acts are enabled, the integrity impact must be high. In cases of critical infrastructure facilities, key national assets, law enforcement facilities, and homeland security facilities, the integrity impact must be high.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for security clearance management information is moderate.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the security clearance information. Loss of availability of security clearance management information may result in denial of access to Federal government facilities and information. The security clearance processes are generally tolerant of reasonable delays.

Recommended Availability Impact Level: For most Federal government systems, only limited harm is expected to result from unauthorized disclosure of security clearance management information. Consequently, the provisional availability impact level recommended for security clearance management information is low.

C.3.3.6 Staff Recruitment and Employment Information Type

Staff recruitment and employment refers to the active marketing and hiring of personnel to fill opportunities and vacancies within an organization. The recommended security categorization for the staff recruitment and employment information type is as follows:

Security Category = {(confidentiality, Low), (integrity, Low), (availability, Low)}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of staff recruitment and employment information on the ability of responsible agencies to market and hire personnel to fill opportunities and vacancies within an organization. In most cases, unauthorized disclosure of staff recruitment and employment information will have only a limited adverse effect on agency operations, assets, or individuals.
Special Factors Affecting Confidentiality Impact Determination: Where more sensitive information is involved, it will probably be personal information subject to the Privacy Act of 1974. The Privacy Act Information provisional impact levels are documented in the Personal Identity and Authentication information type. This can result in assignment of a moderate impact level to such information.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for staff recruitment and employment information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of staff recruitment and employment information depends mostly on the criticality of the information with respect to agency mission capability, protection of agency assets, and safety of individuals. Although there can be serious short-term effects for individuals, the effects of modifications or deletion of this information are generally limited with respect to agency mission capabilities or assets.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for staff recruitment and employment information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the staff recruitment and employment information. The nature of staff recruitment and employment processes is tolerant of reasonable delays.

Recommended Availability Impact Level: The provisional availability impact level recommended for staff recruitment and employment information is low.

C.3.4 Supply Chain Management

Supply chain management involves the purchasing, tracking, and overall management of goods and services.

C.3.4.1 Goods Acquisition Information Type

Goods acquisition involves the procurement of physical goods, products, and capital assets to be used by the Federal government. The recommended security categorization for the goods acquisition information type is as follows:

Security Category = {confidentiality, Low}, {integrity, Low}, {availability, Low}
Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of goods acquisition information on the ability of agencies to procure physical goods, products, and capital assets to be used by the Federal government. The consequences of unauthorized disclosure of most goods acquisition information will have only a limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: Unauthorized disclosure of information associated with large procurements can result in fraud, waste, abuse, and/or legal proceedings that can have a serious to severe effect on Federal government assets and operations. Also, information associated with acquisition of many Federal government facilities can be useful to criminals seeking to gain access to those facilities. In these cases, unauthorized disclosure of information can have a serious adverse effect on agency operations, agency assets, or individuals. The consequent confidentiality impact would range from moderate to high. Also, unauthorized disclosure of one agency’s goods acquisition information by another agency could result in negative impacts on cross-jurisdictional coordination within the goods acquisition infrastructure and the general effectiveness of organizations tasked with acquisition of government facilities and supplies. Additionally, some procurement information associated with proposals is proprietary. In the case of competitive procurements, much information associated with unsuccessful bids remains proprietary following award of the contract (e.g., pricing information). Unauthorized disclosure of proprietary information can have serious consequences for agencies and have at least a moderate confidentiality impact level. Some procurement information is classified. The classified information is national security related and is outside the scope of this guideline.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for goods acquisition information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of goods acquisition information usually depends on the urgency with which the information is needed or the immediacy with which the information is used.

Special Factors Affecting Integrity Impact Determination: Unauthorized modification or destruction of information affecting external publication of goods acquisition information (e.g., web pages, electronic mail) may adversely affect public confidence in the agency. However, damage to the mission would usually be limited. Unauthorized modification or destruction of information relating to procurement actions (particularly proposal information) can result in serious disruption of procurement processes that can be important or even critical to agency operations. In such cases, the integrity impact level can be moderate or even high.
Recommended Integrity Impact Level: The provisional integrity impact level recommended for modification or destruction of most goods acquisition information is \textit{low}.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the goods acquisition information. Functions and processes supported by most goods acquisition information are tolerant of delays i.e., the data supporting the functions/processes are not time-critical. Typically, disruption of access will have a limited adverse effect on agency operations (including mission functions and public confidence in the agency), agency assets, or individuals.

Special Factors Affecting Availability Impact Determination: Exceptions may include emergency procurements necessary to support response aspects of disaster management. In such cases, delays may cost lives and major property damage. Consequently, the availability impact level associated with disruption of access to goods acquisition information needed to respond to emergencies may be \textit{high}.

Recommended Availability Impact Level: The provisional availability impact level recommended for goods acquisition information is \textit{low}.

\textbf{C.3.4.2 Inventory Control Information Type}

Inventory control refers to the tracking of information related to procured assets and resources with regards to quantity, quality, and location. The recommended security categorization for the inventory control information type is as follows:

\textit{Security Category} = \{(confidentiality, Low), (integrity, Low), (availability, Low)\}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of inventory control information on the ability of agencies to track information related to procured assets and resources with regards to quantity, quality, and location. The consequences of unauthorized disclosure of most inventory control information are likely to have only a limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: Unauthorized disclosure of information associated with inventories of hazardous materials (e.g., radioactive materials, toxins, bio-hazardous items, explosives) can facilitate terrorist or other criminal activities that may result in serious effects on Federal government assets and operations and on the general public. In general, inventory control information can be of material use to criminals seeking to perpetrate fraud, theft, or some other criminal enterprise. In these cases too, unauthorized disclosure of information can have a serious adverse effect on agency operations, agency assets, or individuals. The consequent confidentiality impact of these types of criminal exploitation of unauthorized disclosure of inventory control information would range from \textit{moderate} to \textit{high}. 

101
Also, unauthorized disclosure of one agency’s inventory control information by another agency could result in negative impacts on cross-jurisdictional coordination within the inventory control infrastructure and the general effectiveness of organizations tasked with the distribution and accounting of government facilities and supplies. Some inventory control information is classified. The classified information is national security related and is outside the scope of this guideline.

**Recommended Confidentiality Impact Level:** Regardless of the moderate or high impact associated with unauthorized disclosure of some inventory control information, the provisional confidentiality impact level recommended for inventory control information is low.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of inventory control information usually depends on the urgency with which the information is needed or the immediacy with which the information is used. In most cases, it is unlikely that the information will be needed urgently or acted upon immediately.

Unauthorized modification or destruction of information affecting external publication of inventory control information (e.g., web pages, electronic mail) may adversely affect public confidence in the agency. However, damage to the mission would usually be limited.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for inventory control information is low.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to inventory control information. Functions and processes supported by most inventory control information are tolerant of delays i.e., the data supporting the functions/processes are not time-critical. Typically, disruption of access to inventory control information will have a limited adverse effect on agency operations (including mission functions and public confidence in the agency), agency assets, or individuals.

**Special Factors Affecting Availability Impact Determination:** Exceptions may include emergency requirements to access and distribute materials necessary for disaster management. In such cases, delays may cost lives and major property damage. Consequently, the impact level for inventory control information needed to respond to emergencies will be high.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for inventory control information is low.
C.3.4.3 Logistics Management Information Type

Logistics management involves the planning and tracking of personnel and their resources in relation to their availability and location. The recommended security categorization for the logistics management information type is as follows:

Security Category = {\{confidentiality, Low\}, \{integrity, Low\}, \{availability, Low\}}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of logistics management information on the ability of agencies to plan and track the availability and location of personnel and their resources. The consequences of unauthorized disclosure of most logistics management information are likely to have only limited adverse effects on agency operations, agency assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: Unauthorized disclosure of logistics information associated with homeland security, law enforcement and some transportation activities (e.g., air transport) can facilitate terrorist or other criminal activities that may result in serious on Federal government assets and operations and on the general public. Logistics management information associated with a broad range of mission areas can be of material use to criminals seeking to perpetrate fraud, theft, or other criminal enterprises. Also, this information is a key intelligence target for those seeking information on defense or law enforcement capabilities, dispositions and intent. In all these cases, the unauthorized disclosure of logistics management information may result in serious adverse effects on agency operations, agency assets, and individuals. Therefore, the confidentiality impact level for these types of criminal exploitation of unauthorized disclosure of logistics management information will range from moderate to high. Some logistics management information is classified (e.g., some military logistics information). The classified information is national security related and is outside the scope of this guideline.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for most logistics management information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of logistics management information usually depends on the urgency with which the information is needed or the immediacy with which the information is used. In most cases, the information will not be needed urgently or acted upon immediately.

Unauthorized modification or destruction of information affecting external publication of logistics management information (e.g., web pages, electronic mail) may adversely affect public confidence in the agency. However, damage to the mission would usually be limited.
Recommended Integrity Impact Level: The provisional integrity impact level recommended for logistics management information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to logistics management information. Functions and processes supported by most logistics management information are tolerant of delays i.e., the data supporting the functions/processes are not time-critical. Typically, disruption of access to logistics management information will have a limited adverse effect on agency operations (including mission functions and public confidence in the agency), agency assets, or individuals.

Special Factors Affecting Availability Impact Determination: Exceptions may include emergency requirements to deploy personnel and their resources to support disaster management. In such cases, delays may cost lives and major property damage. Consequently, the impact level for logistics management information needed to respond to emergencies will be high.

Recommended Availability Impact Level: The availability impact level recommended for logistics management information is low.

C.3.4.4 Services Acquisition Information Type

Services acquisition involves the oversight and/or management of contractors and service providers from the private sector. The recommended security categorization for the services acquisition information type is as follows:

Security Category = {\{confidentiality, Low\}, \{integrity, Low\}, \{availability, Low\}}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of services acquisition information on the ability of agencies to oversee and/or manage contractors and service providers from the private sector. The consequences of unauthorized disclosure of most services acquisition information are likely to have only a limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: Unauthorized disclosure of information associated with very large procurements can result in fraud, waste, abuse, and/or legal proceedings that can have a serious effect on Federal government assets and operations. Also, information associated with acquisition of some services (e.g., security or protection services) can be of material use to criminals seeking to gain access to Federal facilities or information in order to facilitate or perpetrate sabotage, murder, fraud, theft, or other criminal enterprises. In these cases, unauthorized disclosure of information can have a serious adverse effect on agency operations, agency assets, and/or individuals. The consequent confidentiality
impact will range from moderate to high. Additionally, some procurement information associated with proposals is proprietary. In the case of competitive procurements, much information associated with unsuccessful bids remains proprietary following award of the contract (e.g., pricing information). Unauthorized disclosure of proprietary information can have serious consequences for agencies and have at least a moderate confidentiality impact level. Some services procurement information is classified. The classified information is national security related and is outside the scope of this guideline.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for most services acquisition information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of services acquisition information usually depends on the urgency with which the information is needed or the immediacy with which the information is used. In most cases, the information will not be needed urgently or acted upon immediately. Also, unauthorized modification or destruction of information affecting external publication of services acquisition information (e.g., web pages, electronic mail) may adversely affect public confidence in the agency. However, damage to the mission would usually be limited.

Special Factors Affecting Integrity Impact Determination: Unauthorized modification or destruction of information relating to procurement actions (particularly proposal information) can result in serious disruption of procurement processes and loss of availability of services that can be important or even critical to agency operations. In such cases, the integrity impact level can be moderate or even high.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for most services acquisition information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to services acquisition information. Functions and processes supported by most services acquisition information are tolerant of delays i.e., the data supporting the functions/processes are not time-critical. In most cases, disruption of access to services procurement information can be expected to have a limited adverse effect on agency operations (including mission functions and public confidence in the agency), agency assets, or individuals.

Recommended Availability Impact Level: The provisional availability impact level recommended for services acquisition information is low.
C.3.5 Information and Technology Management

IT management involves the coordination of IT resources and systems required to support or enable a citizen service. Impacts to information associated with the operation of IT systems generally need to be considered even when all mission-related information processed by the system is intended to be available to the general public. The relevant issues may be different for integrity and availability than for confidentiality. Information that has been made public, by definition, requires no confidentiality protection. In contrast, integrity and availability protection cannot be maintained for copies of information that have been distributed to the public. Integrity and availability assurance can only be maintained by maintaining copies of information in organization-controlled information systems.

C.3.5.1 System Development Information Type

System Development supports all activities associated with the in-house design and development of software applications. The recommended security categorization for the system development information type is as follows:

Security Category = {{(confidentiality, Low), (integrity, Moderate), (availability, Low)}}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of system development information on the ability of responsible agencies to design and develop software applications in-house. In the system development phase, a system’s security configuration baseline is established. In most cases, the system development information is not particularly sensitive and is distributed to the users. In general, disclosure of the system development information is likely to result in only limited adverse effects on the confidentiality of system information and processes.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for system development information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of system development information depend on the maximum aggregate sensitivity and criticality of the information and processes associated with the system.

Special Factors Affecting Integrity Impact Determination: The Recommended Integrity Impact Level may range from low to high to national security information (outside the scope of this guideline).
Recommended Integrity Impact Level: The provisional integrity impact level recommended for most system development information is **moderate**.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to system development information. Functions and processes supported by most system development information are not time-critical. That is, temporary disruption of access to system development information will usually have only a limited adverse effect on agency operations (including mission functions and public confidence in the agency), agency assets, or individuals.

Recommended Availability Impact Level: The provisional availability impact level recommended for system development information is **low**.

**C.3.5.2 Lifecycle/Change Management Information Type**

Lifecycle/Change Management involves the processes that facilitate a smooth evolution, composition, and workforce transition of the design and implementation of changes to agency resources such as assets, methodologies, systems, or procedures. The recommended security categorization for the lifecycle/change management information type is as follows:

Security Category = {{confidentiality, Low}, (integrity, Moderate), (availability, Low)}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of lifecycle/change management information on the ability of responsible agencies to execute processes that facilitate a smooth evolution, composition, and workforce transition of the design and implementation of changes to agency resources such as assets, methodologies, systems, or procedures.

Special Factors Affecting Confidentiality Impact Determination: Unauthorized disclosure of some lifecycle/change management information can provide adversaries with intelligence information that may be useful in efforts to compromise the system. This can result in assignment of a **moderate** impact level to such information. Additionally, there are legislative mandates prohibiting unauthorized disclosure of trade secrets. Trade secrets will generally be assigned a **moderate** confidentiality impact level.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for lifecycle/change management information is **low**.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of undetected or unauthorized modification or destruction of lifecycle/change
management information depends on the maximum aggregate sensitivity and criticality of the information and processes associated with the system.

Special Factors Affecting Integrity Impact Determination: The Recommended Integrity Impact Level can range from low to high to national security information (outside the scope of this guideline).

Recommended Integrity Impact Level: The provisional integrity impact level recommended for lifecycle/change management information is moderate.

Availability
The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to lifecycle/change management information. Functions and processes supported by most lifecycle/change management information are not time-critical. That is, temporary disruption of access to lifecycle/change management information will usually have only a limited adverse effect on agency operations (including mission functions and public confidence in the agency), agency assets, or individuals.

Recommended Availability Impact Level: The provisional availability impact level recommended for lifecycle/change management information is low.

C.3.5.3 System Maintenance Information Type
System Maintenance supports all activities associated with the maintenance of in-house designed software applications. The recommended security categorization for the system maintenance information type is as follows:

Security Category = {(confidentiality, Low), (integrity, Moderate), (availability, Low)}

Confidentiality
The confidentiality impact level is the effect of unauthorized disclosure of system maintenance information on the ability of responsible agencies to maintain in-house designed software applications. In most cases, system maintenance information is not particularly sensitive and is distributed to the users. In general, disclosure of system maintenance information is likely to result in only limited adverse effects on the confidentiality of system information and processes.

Recommended Confidentiality Impact Level: The provisional impact level recommended for system maintenance information is low.

Integrity
The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of system maintenance information
can be particularly serious because specific modifications to system changes can be difficult to identify.

**Special Factors Affecting Integrity Impact Determination:** The consequences of undetected or unauthorized modification or destruction of system maintenance information may depend on the maximum aggregate sensitivity and criticality of the information and processes associated with the system. The Recommended Integrity Impact Level can range from low to high to national security information (outside the scope of this guideline).

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for system maintenance information is moderate.

**Availability**
The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to maintenance information. Functions and processes supported by most maintenance information are not time-critical. That is, temporary disruption of access to maintenance information will usually have only a limited adverse effect on agency operations (including mission functions and public confidence in the agency), agency assets, or individuals.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for system maintenance information is low.

**C.3.5.4 IT Infrastructure Maintenance Information Type**

IT infrastructure maintenance involves the planning, design, implementation, and maintenance of an IT Infrastructure to effectively support automated needs (i.e. operating systems, applications software, platforms, networks, servers, printers, etc.). IT infrastructure maintenance also includes information systems configuration and security policy enforcement information. This information includes password files, network access rules and implementing files and/or switch setting, hardware and software configuration settings, and documentation that may affect access to the information system’s data, programs, and/or processes. The impact levels associated with IT infrastructure maintenance information are primarily a function of the information processed in and through that infrastructure.

The IT Maintenance Information type represents a complex set of data elements that are used to secure the design, implementation, and maintenance of systems and networks. The security of each of these data elements is dependent on the security of the other data elements. Security compromise of one data element type will propagate to others.

The recommended security categorization for the IT infrastructure maintenance information type is as follows:

Security Category = {(confidentiality, System High), (integrity, Low), (availability, Low)}
Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of IT infrastructure maintenance information on the ability of responsible agencies to plan, design, implement, and maintain an IT Infrastructure to effectively support automated needs (i.e. operating systems, applications software, platforms, networks, servers, printers, etc.). [See also Appendixes C.3.5.5, IT Security Information and C.3.5.7, Information Management Information.] IT infrastructure maintenance also includes information systems configuration and security policy enforcement information. Unauthorized disclosure of some IT infrastructure maintenance information can lead to confidentiality compromise of information processed by the system (e.g., password files, file access tables, cryptographic keying information, network access rules, and hardware and software configuration settings, and documentation that may affect access to the information system’s data, programs, and/or processes). As a result, the confidentiality impact associated with this information is that of the highest impact information processed by the system. Also, a higher confidentiality impact may be associated with information in aggregate than is associated with any single element of information.

Recommended Confidentiality Impact Level: Particularly in the case of passwords and cryptographic keys, the provisional impact level recommended for IT infrastructure maintenance information depends on the sensitivity and criticality of system information and processes. As a result the recommended provisional impact level is “system high.”

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of IT infrastructure maintenance information usually depends on the urgency with which the data processed in the IT infrastructure is needed or the time-critical nature of the data. In most cases, it is unlikely that the information will be needed urgently or acted upon immediately. In most cases, the consequences of unauthorized modification of IT infrastructure maintenance information will result in limited damage to agency operations or assets.

Special Factors Affecting Integrity Impact Determination: Exceptions may include incorrect information used for emergency response aspects of disaster management, criminal apprehension, air traffic control or other time-critical missions. In such cases, a moderate or high integrity impact level might be considered.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for IT infrastructure maintenance information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to IT infrastructure maintenance information. Functions and processes supported by most IT infrastructure maintenance
information are not time-critical. Also, disruption of access will have a limited adverse effect on agency operations (including mission functions and public confidence in the agency), agency assets, or individuals.

**Special Factors Affecting Availability Impact Determination:** Exceptions may include emergency response aspects of disaster management or other high load and time critical functions (e.g., some systems that support air traffic control functions). The effects of disruption of access to IT infrastructure maintenance information or information systems may be to deny mission-critical IT resources to all affected organizations. The availability impact level associated with denial-of-service to IT infrastructure maintenance information needed to respond to emergencies or critical to public safety can be **high**.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for IT infrastructure maintenance information is **low**.

### C.3.5.5 IT Security Information Type

IT Security involves all functions pertaining to the securing of Federal data and systems through the creation and definition of security policies, procedures and controls covering such services as identification, authentication, and non-repudiation. The recommended security categorization for the IT security information type is as follows:

**Security Category** = \{(confidentiality, Low), (integrity, Moderate), (availability, Low)\}

**Confidentiality**

The confidentiality impact level is the effect of unauthorized disclosure of IT security information on the ability of responsible agencies to secure Federal data and systems through the creation and definition of security policies, procedures and controls covering such services as identification, authentication, and non-repudiation. In most cases, the security policy, procedures, and available controls are not particularly sensitive. Typically, the security information is used in initializing and implementing the controls (e.g., passwords, cryptographic keys) that need to be protected. In general, disclosure of the security policies, procedures, and controls will result in only limited adverse effects on the confidentiality system information and processes.

**Recommended Confidentiality Impact Level:** The recommended provisional confidentiality impact level recommended for IT security information is **low**.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for IT security information is **moderate**.
Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to IT security information. Temporary disruption of access to IT security information can usually be expected to have a limited adverse effect on agency operations (including mission functions and public confidence in the agency), agency assets, or individuals.

Recommended Availability Impact Level: The provisional availability impact level recommended for IT security information is low.

C.3.5.6 Record Retention Information Type

Records Retention involves the operations surrounding the management of the official documents and records for an agency. Subject to exception conditions described below, the recommended security categorization for the record retention information type is as follows:

Security Category = \{\text{(confidentiality, Low), (integrity, Low), (availability, Low)}\}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of record retention information on the ability of responsible organizations to store, track, account for, maintain, retrieve, and disseminate official documents and records. When the data being retained belongs to one of the information types described in this guideline, the confidentiality impact assigned the data and system is at least that of the highest impact information type collected. Typically, the unauthorized disclosure of most business management information retained will have only a limited adverse effect on agency operations, assets, or individuals. National security information and national security systems are outside the scope of this guideline.

Special Factors Affecting Confidentiality Impact Determination: Where more sensitive information is involved, it will most commonly be personal information subject to the Privacy Act of 1974 or information that is proprietary to a corporation or other organization. The Privacy Act Information provisional impact levels are documented in the Personal Identity and Authentication information type. Such information will often be assigned a moderate confidentiality impact level. Where any of the information to be collected can reasonably be expected to have a high confidentiality impact level, then the record retention system must be assigned a high confidentiality impact level. In some cases, the impact assessment should consider that the aggregate of information retained might have a higher confidentiality impact than any individual information element.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for record retention information is low.
Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information.

Special Factors Affecting Integrity Impact Determination: Where integrity compromise adversely affects the ability of an organization to access its records or results in erroneous back-up information or archives, the impact on agency operations can be serious. In such cases, the integrity impact level would be **moderate**. In the case of large-scale archives or archives involving key national assets (e.g., national archives), the integrity impact can be particularly severe and the impact level would be **high**.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for record retention information is **low**.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to record retention information. Functions and processes supported by most record retention information are not time-critical. Record retention processes are generally tolerant of reasonable delays. In most cases, disruption of access to record retention information can be expected to have only a limited adverse effect on agency operations, agency assets, or individuals.

Not many business management systems perform functions for which temporary loss of availability can cause significant degradation in mission capability, place the agency at a significant disadvantage, result in major damage to assets, or pose a threat to human life.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for record retention information is **low**.

C.3.5.7 Information Management Information Type

Information Management involves the coordination of information collection, storage, and dissemination, and destruction as well as managing the policies, guidelines, and standards regarding information management. Subject to exception conditions described below, the recommended security categorization for the information management information type is as follows:

Security Category = {(confidentiality, System High\(^{16}\)), (integrity, Moderate), (availability, Low)}

Confidentiality

\(^{16}\) Confidentiality impact for access control information is that of the highest confidentiality, impact level assigned to any information that may be processed by the system.
The confidentiality impact level is the effect of unauthorized disclosure of information management information on the ability of responsible agencies to perform the day-to-day processes of information collection, storage, dissemination, and destruction and managing the policies, guidelines, and standards regarding information management. The consequences of unauthorized disclosure depend largely on the content and use of the information being managed. The unauthorized disclosure of information management information relevant to most information managed by the government will have only a limited adverse effect on agency operations, assets, or individuals.

**Special Factors Affecting Confidentiality Impact Determination:** Information collection and storage involve the day-to-day processes of gathering and storing data from agency programs, partners, and stakeholders. More sensitive information being managed is usually personal information subject to the Privacy Act of 1974 or information that is proprietary to a corporation or other organization. The Privacy Act Information provisional impact levels are documented in the Personal Identity and Authentication information type. Such information will often be assigned a moderate confidentiality impact level.

Where any of the information to be managed can be expected to have a high confidentiality impact level, then the information management information must be assigned a high confidentiality impact level. When the data being managed belongs to one of the information types described in this guideline, the confidentiality impact assigned to the system is that of the highest impact information type processed by the system. Depending on the agency and the mission being supported, the sensitivity of the information can range from none (public information) to high. (National security information and national security systems are outside the scope of this guideline.)

**Recommended Confidentiality Impact Level:** Particularly in the case of passwords and cryptographic keys, the provisional impact level recommended for information management information depends on the sensitivity and criticality of system information and processes. As a result the recommended provisional impact level is “system high.”

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of information management information (e.g., configuration settings, passwords, authorization codes, cryptographic keying material) can compromise the effectiveness of the system and impair agency operations. The level of impact depends on the criticality of system functionality to the agency mission.

**Special Factors Affecting Integrity Impact Determination:** The loss of integrity for some information management information (e.g., encryption keys) can be very serious for agency operations and can have serious consequences for public confidence in the agency. The integrity impact level recommended for information management information associated with highly critical information is high.
Recommended Integrity Impact Level: Potentially serious adverse effects can be expected in most government organizations resulting from the unauthorized modification or deletion of information management information. Therefore, the provisional integrity impact level recommended for information management information is moderate.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to information management information. The effects of disruption of access to information management information may temporarily impair agency operations. The level of impact depends on the sensitivity of the information being managed and the criticality of the system to the agency mission. Except for information needed by real-time processes (e.g., information that feeds real-time monitoring or audit functions), information management processes are generally tolerant of reasonable delays. In most cases, disruption of access to information management information can be expected to have only a limited adverse effect on agency operations, agency assets, or individuals. Not many business management systems perform functions for which loss of availability can cause significant degradation in mission capability, place the agency at a significant disadvantage, result in major damage to assets, or pose a threat to human life.

Recommended Availability Impact Level: The provisional availability impact level recommended for information management information is low.
APPENDIX D: IMPACT DETERMINATION FOR MISSION-BASED INFORMATION AND INFORMATION SYSTEMS

In general, individual agencies should identify the mission information types processed by their systems. This Appendix identifies some information types that might be processed by Federal government organizations. The material includes mission information and potential impacts of unauthorized disclosure, modification, or unavailability of mission information.

The primary purpose for Federal government information systems is to support provision of basic services to U.S. citizens and residents. This section addresses information types associated with both services provided by the Federal government to citizens and mechanisms used to achieve the purposes of government or deliver services for citizens. Delivery mechanisms include financial vehicles, direct government delivery, and indirect government delivery. Federal government missions or delivery mechanisms distributed among twenty-five mission areas and modes of delivery are identified below. Each mission area and delivery mode corresponds to a Services to Citizens or Mode of Delivery business area as defined in the Business Reference Model 2.0. There is not a one-to-one mapping of services and delivery modes to government departments and agencies. Some departments and agencies focus on a single mission. Others support multiple missions within a mission area. Still others provide services associated with several different mission areas.

An information type is associated with each Federal government mission and delivery mode. The identity of each information type is defined by the mission with which it is associated. Some of the management and support functions executed to support delivery of sources or manage government resources are also executed by some agencies in delivering services to citizens. (See especially the “General Government” functions in Section C.2.8. of Appendix C) Most of these information types could be included in Appendix D as mission-based information types. Because the BRM categorizes them as services delivery support functions, they are included in Section 5 and Appendix C and are not repeated in Appendix D.

The common impact determination factors described in Volume I, Section 3.5, also apply to mission-based information.

Table 4 is a list of the types of Federal government information treated in this section. The list and subsequent descriptive information conform to the missions activities and functions identified in the Office of Management and Budget’s Federal Enterprise Architecture Program Management Office’s Business Reference Model 2.0. Some of the information types listed in C.1.7, C.2.5, C.2.8, and C.3.2 are associated with services delivery in the cases of some agencies. Discussion of these information types is not repeated in this appendix.
Table 4: Mission Information Types and Delivery Mechanisms

**Mission Areas and Information Types**

<table>
<thead>
<tr>
<th>Mission Areas</th>
<th>Information Types</th>
</tr>
</thead>
<tbody>
<tr>
<td>Defense &amp; National Security</td>
<td>Homeland Security</td>
</tr>
<tr>
<td>Border &amp; Transportation Security</td>
<td>Key Asset &amp; Critical Infrastructure Protection</td>
</tr>
<tr>
<td>Intelligence</td>
<td></td>
</tr>
<tr>
<td>Disaster Management</td>
<td>Disaster Monitoring &amp; Prediction</td>
</tr>
<tr>
<td>Disasters</td>
<td>Disaster Preparedness &amp; Planning</td>
</tr>
<tr>
<td>Economic Development</td>
<td>Business and Industry Development</td>
</tr>
<tr>
<td>Intelligence</td>
<td>Intellectual Property Protection</td>
</tr>
<tr>
<td>Homeland Security</td>
<td>Financial Sector Oversight</td>
</tr>
<tr>
<td>Border &amp; Transportation Security</td>
<td>Industry Sector Income Stabilization</td>
</tr>
<tr>
<td>Key Asset &amp; Critical Infrastructure</td>
<td>Community &amp; Social Services</td>
</tr>
<tr>
<td>Protection</td>
<td></td>
</tr>
<tr>
<td>Catastrophic Defense</td>
<td></td>
</tr>
<tr>
<td>International Affairs &amp; Commerce</td>
<td>Foreign Affairs</td>
</tr>
<tr>
<td>Natural Resources</td>
<td>Int’l Development &amp; Humanitarian Aid</td>
</tr>
<tr>
<td>Energy</td>
<td>Global Trade</td>
</tr>
<tr>
<td>Water Resource Management</td>
<td></td>
</tr>
<tr>
<td>Conservation, Land, &amp; Marine Mgt</td>
<td>Recreational Resource Mgt &amp; Tourism</td>
</tr>
<tr>
<td>Water Resource Management</td>
<td></td>
</tr>
<tr>
<td>Energy</td>
<td>Agricultural Innovation &amp; Services</td>
</tr>
<tr>
<td>Energy</td>
<td></td>
</tr>
<tr>
<td>Energy Supply</td>
<td></td>
</tr>
<tr>
<td>Energy Conservation &amp; Preparedness</td>
<td></td>
</tr>
<tr>
<td>Energy Production</td>
<td></td>
</tr>
<tr>
<td>Energy Resource Management</td>
<td></td>
</tr>
<tr>
<td>Natural Resources</td>
<td></td>
</tr>
<tr>
<td>Environmental Monitoring and Forecasting</td>
<td></td>
</tr>
<tr>
<td>Environmental Remediation</td>
<td></td>
</tr>
<tr>
<td>Pollution Prevention &amp; Control</td>
<td></td>
</tr>
<tr>
<td>Workforce Management</td>
<td></td>
</tr>
<tr>
<td>Training and Employment</td>
<td></td>
</tr>
<tr>
<td>Labor Rights Management</td>
<td></td>
</tr>
<tr>
<td>Worker Safety</td>
<td></td>
</tr>
<tr>
<td>Health</td>
<td></td>
</tr>
<tr>
<td>Illness Prevention</td>
<td></td>
</tr>
<tr>
<td>Immunization Management</td>
<td></td>
</tr>
<tr>
<td>Public Health Monitoring</td>
<td></td>
</tr>
<tr>
<td>Health Care Services</td>
<td></td>
</tr>
<tr>
<td>Consumer Health &amp; Safety</td>
<td></td>
</tr>
<tr>
<td>Transportation</td>
<td></td>
</tr>
<tr>
<td>Air Transportation</td>
<td></td>
</tr>
<tr>
<td>Ground Transportation</td>
<td></td>
</tr>
<tr>
<td>Water Transportation</td>
<td></td>
</tr>
<tr>
<td>Space Operations</td>
<td></td>
</tr>
<tr>
<td>Transportation</td>
<td></td>
</tr>
<tr>
<td>Military</td>
<td></td>
</tr>
<tr>
<td>Law Enforcement</td>
<td></td>
</tr>
<tr>
<td>Judicial Hearings</td>
<td></td>
</tr>
<tr>
<td>Legal Defense</td>
<td></td>
</tr>
<tr>
<td>Legal Investigation</td>
<td></td>
</tr>
<tr>
<td>Legal Prosecution and Litigation</td>
<td></td>
</tr>
<tr>
<td>Dispute Resolution Facilitation</td>
<td></td>
</tr>
<tr>
<td>Federal Correctional Activities</td>
<td></td>
</tr>
<tr>
<td>Criminal Incarceration</td>
<td></td>
</tr>
<tr>
<td>Criminal Rehabilitation</td>
<td></td>
</tr>
<tr>
<td>General Science &amp; Innovation</td>
<td></td>
</tr>
<tr>
<td>Scientific/Tech Research &amp; Innovation</td>
<td></td>
</tr>
<tr>
<td>Space Exploration &amp; Innovation</td>
<td></td>
</tr>
<tr>
<td>Modes of Delivery</td>
<td></td>
</tr>
<tr>
<td>Services Delivery Mechanisms and Information Types</td>
<td></td>
</tr>
<tr>
<td>Knowledge Creation &amp; Management</td>
<td></td>
</tr>
<tr>
<td>Regulatory Compliance &amp; Enforcement</td>
<td></td>
</tr>
<tr>
<td>Public Goods Creation and Management</td>
<td></td>
</tr>
<tr>
<td>Financial Vehicles and Information Types</td>
<td></td>
</tr>
<tr>
<td>Credit and Insurance</td>
<td></td>
</tr>
<tr>
<td>Transfers to State/Local Governments</td>
<td></td>
</tr>
</tbody>
</table>

118
Table 5 includes provisional impact assessments for each mission information type or delivery mode represented in Table 4.

The impact levels assigned to many information types may be context-dependent. For example, a given information type in some agencies may include information elements, the compromise of which may endanger human life. In other agencies, the same information type may not include such elements.

In Table 5, exceptions to provisional impact assignments are flagged by displaying impact assignments in a gray font [gray font].

| Table 5: Security Categorization of Mission Information |
|---------------------------------|---------------|---------------|---------------|
|                                  | Confidentiality | Integrity      | Availability  |
| **Homeland Security**            |                |                |               |
| Border Control and Transportation Security | Moderate       | Moderate       | Moderate       |
| Key Asset and Critical Infrastructure Protection | High           | High           | High           |
| Catastrophic Defense             | High           | High           | High           |
| Executive Functions of the EOP   | High           | Moderate       | High           |
| **Intelligence Operations**      | High           | High           | High           |
| **Disaster Management**          | Low            | High           | High           |
| Disaster Monitoring and Prediction| Low            | Low            | Low            |
| Disaster Preparedness and Planning| Low            | Low            | Low            |
| Disaster Repair and Restoration  | Low            | Low            | Low            |
| Emergency Response               | Low            | High           | High           |
| **International Affairs and Commerce** |                |                |               |
| Foreign Relations                | High           | High           | Moderate       |
| International Development and Humanitarian Aid | Moderate       | Low            | Low            |
| Global Trade                     | High           | High           | High           |
| **Natural Resources**            |                |                |               |
| Water Resource Management        | Low            | Low            | Low            |
| Conservation, Marine, and Land Management | Low           | Low            | Low            |
| Recreational Resource Management and Tourism | Low           | Low            | Low            |
| Agricultural Innovation and Services | Low           | Low            | Low            |
| **Energy**                       |                |                |               |
| Energy Supply                    | Low\(^{18}\)   | Low\(^{19}\)   | Low\(^{19}\)   |
| Energy Conservation and Preparedness| Low            | Low            | Low            |
| Energy Resource Management       | Moderate       | Low            | Low            |
| Energy Production                | Low            | Low            | Low            |
| **Environmental Management**     |                |                |               |

Where foreign intelligence information is involved, the information and information systems are categorized as national security information or systems and are outside the scope of this guideline.

\(^{18}\) High where safety of radioactive materials, highly flammable fuels, or transmission channels or control processes at risk.

\(^{19}\) Usually Moderate or High where time-critical processes are involved.
<table>
<thead>
<tr>
<th>Table 5: Security Categorization of Mission Information</th>
<th>Confidentiality</th>
<th>Integrity</th>
<th>Availability</th>
</tr>
</thead>
<tbody>
<tr>
<td>Environmental Monitoring/Forecasting</td>
<td>Low</td>
<td>Moderate</td>
<td>Low</td>
</tr>
<tr>
<td>Environmental Remediation</td>
<td>Moderate</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Pollution Prevention And Control</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td><strong>Economic Development</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Business and Industry Development</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Intellectual Property Protection</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Financial Sector Oversight</td>
<td>Moderate</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Industry Sector Income Stabilization</td>
<td>Moderate</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td><strong>Community and Social Services</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Homeownership Promotion</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Community and Regional Development</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Social Services</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Postal Services</td>
<td>Low</td>
<td>Moderate</td>
<td>Moderate</td>
</tr>
<tr>
<td><strong>Transportation</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Ground Transportation</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Water Transportation</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Air Transportation</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Space Operations</td>
<td>Low</td>
<td>High</td>
<td>High</td>
</tr>
<tr>
<td><strong>Education</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Elementary, Secondary, &amp; VocEd</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Higher Education</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Cultural &amp; Historic Preservation</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Cultural &amp; Historic Exhibition</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td><strong>Workforce Management</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Training and Employment</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Labor Rights Management</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Worker Safety</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td><strong>Public Health</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Illness Prevention</td>
<td>Low</td>
<td>Moderate</td>
<td>Low</td>
</tr>
<tr>
<td>Immunization Management</td>
<td>Low</td>
<td>Moderate</td>
<td>Low</td>
</tr>
<tr>
<td>Public Health Monitoring</td>
<td>Low</td>
<td>Moderate</td>
<td>Low</td>
</tr>
<tr>
<td>Health Care Services</td>
<td>Low</td>
<td>High</td>
<td>Low</td>
</tr>
<tr>
<td>Consumer Health and Safety</td>
<td>Low</td>
<td>Moderate</td>
<td>Low</td>
</tr>
<tr>
<td><strong>Income Security</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>General Retirement and Disability</td>
<td>Moderate</td>
<td>Moderate</td>
<td>Moderate</td>
</tr>
<tr>
<td>Unemployment Compensation</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Housing Assistance</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Food and Nutrition Assistance</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Survivor Compensation</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td><strong>Law Enforcement</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Criminal Apprehension</td>
<td>Low</td>
<td>Low</td>
<td>Moderate</td>
</tr>
<tr>
<td>Criminal Investigation and Surveillance</td>
<td>Moderate</td>
<td>Moderate</td>
<td>Moderate</td>
</tr>
<tr>
<td>Citizen Protection</td>
<td>Moderate</td>
<td>Moderate</td>
<td>Moderate</td>
</tr>
<tr>
<td>Leadership Protection</td>
<td>Moderate</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Property Protection</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Substance Control</td>
<td>Moderate</td>
<td>Moderate</td>
<td>Moderate</td>
</tr>
<tr>
<td>Table 5: Security Categorization of Mission Information</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>----------------------------------</td>
<td>------------------</td>
<td>------------------</td>
<td>------------------</td>
</tr>
<tr>
<td>Confidentiality</td>
<td>Integrity</td>
<td>Availability</td>
<td></td>
</tr>
<tr>
<td>Crime Prevention</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Trade Law Enforcement</td>
<td>Moderate</td>
<td>Moderate</td>
<td>Moderate</td>
</tr>
<tr>
<td>Litigation and Judicial Activities</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Judicial Hearings</td>
<td>Moderate</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Legal Defense</td>
<td>Moderate</td>
<td>High</td>
<td>Low</td>
</tr>
<tr>
<td>Legal Investigation</td>
<td>Moderate</td>
<td>Moderate</td>
<td>Moderate</td>
</tr>
<tr>
<td>Legal Prosecution and Litigation</td>
<td>Low</td>
<td>Moderate</td>
<td>Low</td>
</tr>
<tr>
<td>Resolution Facilitation</td>
<td>Moderate</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Federal Correctional Activities</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Criminal Incarceration</td>
<td>Low</td>
<td>Moderate</td>
<td>Low</td>
</tr>
<tr>
<td>Criminal Rehabilitation</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>General Science and Innovation</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Scientific &amp; Tech Research &amp; Innovation</td>
<td>Low</td>
<td>Moderate</td>
<td>Low</td>
</tr>
<tr>
<td>Space Exploration &amp; Innovation</td>
<td>Low</td>
<td>Moderate</td>
<td>Low</td>
</tr>
<tr>
<td>Knowledge Creation and Management</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Research and Development</td>
<td>Low</td>
<td>Moderate</td>
<td>Low</td>
</tr>
<tr>
<td>General Purpose Data and Statistics</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Advising and Consulting</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Knowledge Dissemination</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Regulatory Compliance and Enforcement</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Inspections and Auditing</td>
<td>Moderate</td>
<td>Moderate</td>
<td>Low</td>
</tr>
<tr>
<td>Std Setting/Reporting Guideline Dev’t</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Permits and Licensing</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Public Goods Creation and Management</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Manufacturing</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Construction</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Public Facility and Infrastructure</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Information Infrastructure Management</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Federal Financial Assistance</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Federal Grants (Non-State)</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Direct Transfers to Individuals</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Subsidies</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Tax Credits</td>
<td>Moderate</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Credits and Insurance</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Direct Loans</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Loan Guarantees</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>General Insurance</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Transfers to State/Local Governments</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Formula Grants</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Project/Competitive Grants</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>Earmarked Grants</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
<tr>
<td>State Loans</td>
<td>Low</td>
<td>Low</td>
<td>Low</td>
</tr>
</tbody>
</table>
Many of the information types are also lifecycle-dependent. That is, information that requires protection at one stage in the system development process may be publicly accessible at a later stage or following some event. For example, information that has confidentiality attributes during the period that an agency is using it to make a decision may be public knowledge once the decision has been made (e.g., financial/budgetary information used during development of requests for proposals in procurement actions).

The following sections describe information attributes that affect impact assessment for each information type.

**D.1 Defense and National Security**

Defense and national security operations protect and advance U.S. National Security interests and, if deterrence fails, decisively defeat threats to those interests. Defense and national security activities include but military operations, border protection, and intelligence gathering. Defense operations are subdivided into the following classes:

- **Strategic National and Theater Defense** – Establishing national and multinational military objectives, sequencing initiatives, defining limits and assessing risks for the use of military and other instruments of national power, developing global plans or theater war plans to achieve these objectives, and providing military forces and other capabilities in accordance with strategic plans;

- **Operational Defense** – Linking tactics and strategy by establishing operational objectives needed to accomplish the strategic objectives, sequencing events to achieve the operational objectives, initiating actions, and applying resources to bring about and sustain these events; and

- **Tactical Defense** – The ordered arrangement and maneuver of combat elements in relation to each other and to the enemy to achieve combat objectives.

Impacts to much information and many information systems associated with defense and national security missions may affect the security of a broad range of critical infrastructures and key national assets. Systems that involve command and control of military forces, weapons control\(^{20}\), involve equipment that is an integral part of a weapon or weapons system, are critical to the direct fulfillment of military missions\(^{2} \) or are otherwise employed in strictly military operations\(^{21}\) are defined under Public Law\(^{6} \) as national security systems. Information assurance responsibilities are delegated to the Department of Defense for systems that are operated by the Department of Defense, or another entity on behalf of the

---

\(^{20}\) Weapons control involves the actions taken to monitor and protect U.S. weaponry, as well as the oversight and control of arms in other countries. Weapons Control applies to conventional, biological, chemical, and nuclear weaponry.

\(^{21}\) Military operations involve the activities that take place during base trainings, military conflicts, and peacekeeping missions.
Department of Defense\textsuperscript{22}. Security objectives and impact levels associated with these systems are determined by the Department of Defense.

\subsection*{D.2 Homeland Security}

Homeland Security involves protecting the nation against terrorist attacks. This includes analyzing threats and intelligence, guarding borders and airports, protecting critical infrastructure, and coordinating the response emergencies. The Homeland Security Line of Business is defined by the President’s Strategy on Homeland Security. Note: Some of the Critical Mission Areas from the President’s strategy are included in other information classes and categories.

\subsubsection*{D.2.1 Border and Transportation Security Information Type}

Border and Transportation Security includes facilitating or deterring entry and exit of people, goods, and conveyances at and between U.S. ports of entry, as well as ensuring the security of transportation and infrastructure networks, facilities, vehicles, and personnel within the United States. Border control involves enforcing the laws regulating the admission of foreign-born persons (i.e., aliens) to the United States. This includes patrolling and monitoring borders and deportation of illegal aliens. Some border control information is also associated with other mission information types (e.g., criminal apprehension, and criminal investigation and surveillance information). In such cases, the impact levels of the associated mission information may determine impact levels associated with border control information. Some aspects of ensuring security of transportation and infrastructure networks, facilities, vehicles, and personnel within the United States are also covered under the information types associated with the transportation mission. In some cases the border control information may be classified. Any classified information is treated under separate rules established for national security information. The recommended categorization for unclassified border and transportation security information follows:

\textbf{Security Category} = \{(confidentiality, Moderate), (integrity, Moderate), (availability, Moderate)\}

\textbf{Confidentiality}

The confidentiality impact level is the effect of unauthorized disclosure of border control information on the ability of responsible agencies to enforce laws regulating the admission of foreign-born persons (i.e., aliens) to the United States. Generally, the effects of unauthorized disclosure of border control information are usually confined to a single geographic region, immigration case, or deportation case. Even so, unauthorized disclosure may have a serious adverse effect on mission functions, cause significant degradation in mission capability, or place the agency at a significant disadvantage with respect to its border control responsibilities. Particularly in the case of immigration, naturalization, and deportation activities, unauthorized disclosure of information can violate privacy policies. Such unauthorized disclosures can have a serious effect on public confidence in the agency.

Special Factors Affecting Confidentiality Impact Determination: Where border control information is also associated with other mission information types (e.g., criminal apprehension, and criminal investigation and surveillance information), the confidentiality impact level associated with the information may be **high**. Where unauthorized disclosure of border control information may put the physical safety of personnel into serious jeopardy, the confidentiality impact level associated with the information may be **high**. Unauthorized disclosure of confidentiality of information associated with ensuring security of transportation and infrastructure networks, facilities, vehicles, and personnel within the United States can result in facilitation of terrorist activities that endanger human life. In some cases, the consequent threat to critical infrastructures, key national assets, and human life can be catastrophic. Consequently, the confidentiality impact level associated with information associated with ensuring security of transportation and infrastructure networks, facilities, vehicles, and personnel within the United States is normally **high**.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for most border control information is **moderate**.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. Unauthorized modification or destruction of information affecting external communications (e.g., web pages, electronic mail) may adversely affect operations or public confidence in the agency, but the damage to the mission would usually be limited. The consequences of unauthorized modification or destruction of information can be very serious if the information is critical to tactical operations.

Special Factors Affecting Integrity Impact Determination: Unauthorized modification or destruction of information associated with ensuring security of transportation and infrastructure networks, facilities, vehicles, and personnel within the United States may seriously affect mission operations or result in the loss of human life. Unauthorized modification or destruction of information affecting anti-terrorism information may adversely affect mission operations in a manner that results in unacceptable damage to critical infrastructures and/or key national assets or loss of key national assets and/or human life. Consequently, the integrity impact level associated with information that ensures the security of transportation and infrastructure networks, facilities, vehicles, and personnel within the United States is **high**.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for border control information is **moderate**.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to border control information. Functions and processes supported by most border control information are not time-critical. Also, disruption of access will have only a limited adverse effect on agency operations (including mission functions and public confidence in the agency), agency assets, or individuals.
Special Factors Affecting Availability Impact Determination: There may be time critical cases, for example, information regarding transport of illegal aliens or information about a physical threat posed by aliens that border control personnel have been assigned to interdict. In such cases, the availability impact will be **high**.

The consequences of disruption of access to information or information systems associated with ensuring security of transportation and infrastructure networks, facilities, vehicles, and personnel within the United States may be severe. Also, anti-terrorism missions are not reliably tolerant of delays. The availability impact level for information systems that ensure the security of transportation and infrastructure networks, facilities, vehicles, and personnel within the United States is **high**.

Recommended Availability Impact Level: Except for such time-critical cases, cases where impact is driven by information shared with associated missions (e.g., anti-terrorism), the provisional availability impact level recommended for border control information is normally **moderate**.

### D.2.2 Key Asset and Critical Infrastructure Protection Information Type

Key Asset and Critical Infrastructure Protection involves assessing key asset and critical infrastructure vulnerabilities and taking direct action to mitigate vulnerabilities, enhance security, and ensure continuity and necessary redundancy in government operations and personnel. The Critical Infrastructure Information Protection Act of 2002 (6 U.S.C. 131-134) places specific controls on the dissemination of critical infrastructure information (see Volume I, 3.5.2.3). Under the provisions of Executive Order 13292, some anti-terrorism information is subject to security classification. **National security information** is outside the scope of this guideline. The recommended categorization for unclassified anti-terrorism information follows:

\[
\text{Security Category} = \{(\text{confidentiality, High}), (\text{integrity, High}), (\text{availability, High})\}
\]

**Confidentiality**

The confidentiality impact level is the effect of unauthorized disclosure of critical infrastructure protection information on the ability of responsible agencies to monitor and assess the leadership, motivations, plans, and intentions of foreign and domestic terrorist groups and their state and non-state sponsors. The effects of unauthorized disclosure of this information can reasonably be expected to jeopardize fulfillment of critical infrastructure protection missions. The consequent threat to critical infrastructures, key national assets, and human life can be catastrophic.

**Recommended Confidentiality Impact Level:** The provisional confidentiality impact level recommended for critical infrastructure protection information is **high**.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. Unauthorized modification or destruction of information affecting critical infrastructure protection operations
may adversely affect mission operations and result in unacceptable damage to critical infrastructures, damage to key national assets, or loss of human life.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for critical infrastructure protection information is *high*.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to critical infrastructure protection information. Generally, critical infrastructure protection missions are not reliably tolerant of delays. Significant degradation in mission capability and resultant catastrophic consequences for critical infrastructures, key national assets, and/or human life may occur from disruption of access to critical infrastructure protection information.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for critical infrastructure protection information is *high*.

### D.2.3 Catastrophic Defense Information Type

Catastrophic Defense involves the development of technological countermeasures (chemical, biological, radiological and nuclear [CBRN]) to terrorist threats, conducting laboratory testing on new and promising devices, and conducting basic and applied science that can lead to the development of countermeasures. Under the provisions of Executive Order 13292, some anti-terrorism information is subject to security classification. *National security information* is outside the scope of this guideline. The recommended categorization for unclassified anti-terrorism information follows:

\[
\text{Security Category} = \{(\text{confidentiality, High}), (\text{integrity, High}), (\text{availability, High})\}
\]

**Confidentiality**

The confidentiality impact level is the effect of unauthorized disclosure of catastrophic defense information on the ability of responsible agencies to monitor and assess the leadership, motivations, plans, and intentions of foreign and domestic terrorist groups and their state and non-state sponsors. The effects of unauthorized disclosure of this information can reasonably be expected to jeopardize fulfillment of catastrophic defense missions. The consequent threat to human life, critical infrastructures, and key national assets can be catastrophic.

**Recommended Confidentiality Impact Level:** The provisional confidentiality impact level recommended for catastrophic defense information is normally *high*.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. Unauthorized modification or destruction of information affecting catastrophic defense activities may adversely affect mission operations in a manner that results in loss of human life, unacceptable damage to critical infrastructures, and/or damage to or loss of key national assets.
Recommended Integrity Impact Level: The provisional integrity impact level recommended for catastrophic defense information is high.

Availability

The effects of disruption of access to or use of catastrophic defense information or The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to catastrophic defense information. Generally, disruption of access will have a severe adverse effect on agency operations (including mission functions and public confidence in the agency), agency assets, or individuals. Also, catastrophic defense missions are not tolerant of delays, with consequences of significant degradation in mission capability and resultant catastrophic consequences for human life, critical infrastructures, and/or key national assets.

Recommended Availability Impact Level: The provisional availability impact level recommended for catastrophic defense information is high.

D.2.4 Executive Functions of the Executive Office of the President (EOP) Information Type

Executive Functions involve the Executive Office of the President (EOP). Subject to exception conditions described below, the recommended provisional security categorization for the executive information type is as follows:

Security Category = {\{confidentiality, High\}, \{integrity, Moderate\}, \{availability, High\}}

Confidentiality

The confidentiality impact level associated with the executive information type is associated with functions of the Executive Office of the President (EOP). The effects of loss of confidentiality of policies and guidance during the formative stage can result in attempts by affected entities and other interested parties to influence and/or impede the policy and guidance development process. Premature public release of formative policies and guidance before internal coordination and review can result in unnecessary damage to public confidence in the EOP. These consequences may occur when the release includes unedited internal commentary and discussion.

Most of the information processed in and by the EOP is classified national security information and is outside the scope of this guideline. Other information processed by the EOP is extremely sensitive and applicable to homeland security and law enforcement. The unauthorized disclosure of this extremely sensitive information can seriously imperil human life, key national assets, and critical infrastructures.

Recommended Confidentiality Impact Level: Based on the catastrophic harm that can be suffered by the nation due to unauthorized disclosure of executive information the provisional confidentiality impact level recommended for executive functions information is high.
Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information.

Unauthorized modification or destruction of information affecting external communications that contain EOP information (e.g., web pages, electronic mail) may adversely affect public confidence in the government. In the case of the EOP, the impact of such a loss of public confidence may be at least moderate.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for executive information is moderate.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to the executive information. National defense and critical infrastructure protection aspects of EOP functions are not generally tolerant of delays. Excessive recovery delays can result in loss of coordination of critical defense and public welfare processes.

Recommended Availability Impact Level: The provisional availability impact level recommended for executive functions information is high.

D.3 Intelligence Operations

Intelligence operations involve the development and management of accurate, comprehensive, and timely foreign intelligence on national security topics. Systems the function, operation, or use of which, involve intelligence activities or are critical to the direct fulfillment of intelligence missions are defined under Public Law as national security systems. National security information and national security systems are outside the scope of this guideline. Security objectives and impact levels associated with national security systems are determined by the head of each agency exercising control of the system.

23 Systems that do not involve a) intelligence activities, b) cryptologic activities related to national security, c) command and control of military forces, d) equipment that is an integral part of a weapon or weapons system or 5) information classified by an act of Congress or under an Executive order are not designated as national security systems if they are used exclusively for routine business or administrative applications even if they are critical to the direct fulfillment of military or intelligence missions. Routine business or administrative applications are defined as including payroll, finance, logistics, and personnel management applications. [Federal Information Security Management Act of 2002, Public Law 107-347, Subchapter III – Information Security, Sec. 3547 – National security systems, 12/17/02]


Some agencies are charged with gathering domestic intelligence. Much domestic intelligence information is classified. Other domestic intelligence information may not be classified (e.g., some information obtained from state and local government sources). All classified information is treated under separate rules established for national security information. The recommended categorization for unclassified domestic intelligence information follows:

Security Category = \{(\text{confidentiality, High}), (\text{integrity, High}), (\text{availability, High})\}\n
Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of domestic intelligence information on the ability of responsible agencies to develop and manage accurate, comprehensive, and timely domestic intelligence on homeland security topics and other national threats. The consequences of unauthorized disclosure of domestic intelligence information may include loss of the ability and/or authorization to collect information necessary to provide warning or to interdict from major threats (e.g., terrorist threats to critical infrastructures and/or key national assets).

Recommended Confidentiality Impact Level: Given the criticality of much domestic intelligence information and the severe or catastrophic consequences to agencies that disclose domestic intelligence information without proper authorization (e.g., Privacy Act provisions, Fourth Amendment issues), the provisional confidentiality impact level recommended for the domestic intelligence information is high.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. Domestic intelligence information is generally associated with other mission-related information (e.g., anti-terrorism, firearms and explosive protection, narcotics interdiction). The consequences of unauthorized modification or destruction of domestic intelligence information is determined to a large extent on the missions being supported by the intelligence information and on whether the intelligence information is time-critical. Unauthorized modification or destruction of intelligence information may adversely affect mission operations in a manner that results in unacceptable damage to critical infrastructures, damage to or loss of key national assets, or loss of human life.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for domestic intelligence information is high.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to domestic intelligence information. Generally, missions supported by domestic intelligence information are not reliably tolerant of delays. Significant degradation in mission capability and resultant catastrophic consequences for critical infrastructures, key national assets, and/or human life may result from disruption of access to domestic intelligence information.
Recommended Availability Impact Level: The provisional availability impact level recommended for domestic intelligence information is high.

D.4 Disaster Management

Disaster management involves the activities required to prepare for, mitigate, respond to, and repair the effects of all physical and humanitarian disasters whether natural or man-made. Compromise of much information associated with any of the missions within the disaster management mission area may seriously impact the security of a broad range of critical infrastructures and key national assets.

D.4.1 Disaster Monitoring and Prediction Information Type

Disaster monitoring and prediction involves the actions taken to predict when and where a disaster may take place and communicate that information to affected parties. [Some disaster management information occurs in humanitarian aid systems under the International Affairs and Commerce line of business (e.g., State Department disaster preparedness and planning).] The recommended provisional categorization of the disaster monitoring and protection information type follows:

Security Category = \{(\text{confidentiality, Low}), (\text{integrity, High}), (\text{availability, High})\}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of disaster monitoring and prediction information on the ability of responsible agencies to predict when and where a disaster may take place and communicate that information to affected parties. The purpose of disaster monitoring and prediction activities is generally to disseminate information. Sharing of raw information by a diverse group of analysts often improves the quality of predictive analysis.

Special Factors Affecting Confidentiality Impact Determination: The consequences of unauthorized disclosure of some disaster monitoring and prediction information may include public panic or other responses that jeopardize public safety, disaster prevention, emergency response, disaster repair, or restoration missions. For example, attempts of large populations to evacuate in an endangered area before necessary preparations are made for evacuation routes can result in a clogging of the routes and failure to evacuate large parts of the population in time to save them from a life-threatening event. Most of the disaster monitoring and prediction information is critical in terms of potential loss of human life and major property damage. The unauthorized release of this information may interfere with disaster prevention or emergency response missions. The confidentiality impact level recommended for the information cited in the example can be moderate or high.

The unauthorized disclosure of disaster monitoring and prediction information to terrorists may reveal weak or sensitive points to target, the most effective technique(s) use in attacking a target, and information regarding the status, intent, and plans of our adversaries. Where unauthorized disclosure of disaster monitoring and prediction information is expected to be of direct use to terrorists, the confidentiality impact level is recommended to be high.
Recommended Confidentiality Impact Level: The provisional confidentiality impact recommended for most disaster monitoring and prediction information is *low*.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of disaster monitoring and prediction information usually depends on whether the information is time-critical. Unauthorized modification or destruction of information affecting disaster monitoring and prediction information may jeopardize public safety, disaster prevention, and/or emergency response missions in a manner that results in unacceptable damage to critical infrastructures, damage to key national assets, or loss of human life. For example, an integrity compromise that prevents timely and accurate dissemination of tsunami and earthquake predictions can have life-threatening consequences.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for disaster monitoring and prediction information is *high*.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to disaster monitoring and prediction information. Generally, missions supported by disaster monitoring and prediction information are not reliably tolerant of delays. Delays may cost lives and irreplaceable property, e.g., degradation in mission capability and resultant catastrophic consequences for critical infrastructures, key national assets, and/or human life. For example, a loss of availability of information that prevents timely and accurate dissemination of tsunami and earthquake predictions can have life-threatening consequences.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for disaster monitoring and prediction information is *high*.

### D.4.2 Disaster Preparedness and Planning Information Type

Disaster preparedness and planning involves the development of response programs to be used in case of a disaster. This involves the development of emergency management programs and activities as well as staffing and equipping regional response centers. The recommended provisional categorization of the disaster preparedness and planning information type follows:

Security Category = {s*(confidentiality, Low), (integrity, Low), (availability, Low)s*}

**Confidentiality**

The confidentiality impact level is the effect of unauthorized disclosure of disaster preparedness and planning information on the ability of responsible agencies to develop response programs to be used in case of a disaster. This involves the development of emergency management programs and activities as well as staffing and equipping regional response centers. The
consequences of unauthorized disclosure of most disaster preparedness and planning information would have, at most, a limited adverse effect on agency operations, agency assets, or individuals.

**Special Factors Affecting Confidentiality Impact Determination:** The consequences of unauthorized disclosure of some disaster preparedness and planning information may include revealing weak or sensitive critical infrastructure characteristics or inadequate security of U.S. targets to terrorists or other adversaries. Such information may reveal to an enemy the most effective technique(s) to use in attacking a target, and/or information regarding the capabilities, intent, and plans of our adversaries. Where unauthorized disclosure of disaster preparedness and planning information associated with critical infrastructures, large groups of people, or key national assets is expected to be of direct use to terrorists, the confidentiality impact level is recommended to be **high**.

**Recommended Confidentiality Impact Level:** The provisional confidentiality impact level recommended for most disaster preparedness and planning information is **low**.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of disaster preparedness and planning information depend on whether the information is time-critical.

**Special Factors Affecting Integrity Impact Determination:** Unauthorized modification or destruction of information affecting external communications (e.g., web pages, electronic mail) may adversely affect operations and/or public confidence in the agency, but the damage to the mission will usually be limited. The consequences of unauthorized modification or destruction of information can be very serious or catastrophic if the data is time-critical operational information. In such cases, the impact level assigned would be **moderate** or **high**.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for most disaster preparedness and planning information is **low**.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to disaster preparedness and planning information. Generally, missions supported by disaster preparedness and planning information are not reliably tolerant of delays.

**Special Factors Affecting Availability Impact Determination:** If emergency responders and those responsible for repair and restoration activities are unable to access preparedness and planning information in the event of an actual emergency the consequences may include confusion and delays. In such cases, the availability impact level can be **moderate** or **high**.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for disaster preparedness and planning information is **low**.
D.4.3 Disaster Repair and Restoration Information Type

Disaster repair and restoration involves the cleanup and restoration activities that take place after a disaster. This involves the cleanup and rebuilding of any homes, buildings, roads, environmental resources, or infrastructure that may be damaged due to a disaster. The recommended provisional categorization of the disaster repair and restoration information type follows:

Security Category = {{confidence, Low}, {integrity, Low}, {availability, Low}}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of disaster repair and restoration information on the ability of responsible agencies to conduct cleanup and restoration activities that take place after a disaster. This involves the cleanup and rebuilding of any homes, buildings, roads, environmental resources, or infrastructure that may be damaged due to a disaster. The consequences of unauthorized disclosure of most disaster repair and restoration information would have a limited adverse effect on agency operations, agency assets, or individuals.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for disaster repair and restoration information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of disaster repair and restoration information depends on whether the information is time-critical.

Unauthorized modification or destruction of information affecting external communications (e.g., web pages, electronic mail) may adversely affect operations or public confidence in the agency, but the damage to the mission would usually be limited.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for most disaster repair and restoration information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to disaster repair and restoration information. Generally, missions supported by disaster repair and restoration information are tolerant of delay.

Recommended Availability Impact Level: The provisional availability impact level recommended for disaster repair and restoration information is low.
D.4.4 Emergency Response Information Type

Emergency Response involves the immediate actions taken to respond to a disaster (e.g., wildfire management). These actions include providing mobile telecommunications, operational support, power generation, search and rescue, and medical life saving actions. Impacts to emergency response information and the information systems that process and store emergency response information could result in negative impacts on cross-jurisdictional coordination within the critical emergency services infrastructure and the general effectiveness of organizations tasked with emergency response missions. The recommended provisional categorization of the emergency response information type follows:

Security Category = {(confidentiality, Low), (integrity, High), (availability, High)}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of emergency response information on the ability of responsible agencies to respond to a disaster. These actions include providing mobile telecommunications, operational support, power generation, search and rescue, and medical life saving actions. The consequences of unauthorized disclosure of emergency response information will usually have little or no adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: In cases where an attack is underway, unauthorized disclosure of emergency response information can provide information that might permit terrorists or other adversaries to target emergency response assets, thus jeopardizing emergency response resources and missions and public safety. Given the criticality that much emergency response information has in terms of potential loss of human life and major property damage, where unauthorized release of information can reasonably be expected to facilitate interference with emergency response missions, the confidentiality impact level may be moderate or high. The unauthorized disclosure of one agency’s emergency response by another agency could result in negative impacts on cross-jurisdictional coordination within the critical emergency services infrastructure and the general effectiveness of organizations tasked with emergency response missions.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for emergency response information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of emergency response information usually depends on whether the information is time-critical. Unauthorized modification or destruction of emergency response information may pose a significant threat to major assets and/or human life.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for emergency response information is normally high.
Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to emergency response information. Generally, missions supported by emergency response information are not tolerant of delays. Delays may cost lives and result in major property damage. Denial of access to emergency response information may result in significant degradation in mission capability and resultant catastrophic consequences for critical infrastructures, key national assets, and/or human life.

Recommended Availability Impact Level: The provisional availability impact level recommended for emergency response information is high.

D.5 International Affairs and Commerce

International Affairs and Commerce involves the non-military activities that promote U.S. policies and interests beyond our national borders, including the negotiation of conflict resolution, treaties, and agreements. In addition, this function includes: foreign economic development and social/political development; diplomatic relations with other Nations; humanitarian, technical and other developmental assistance to key Nations; and global trade. Information that is protected by procedures established and authorized under criteria specified in an Executive Order or an Act of Congress to be kept classified in the interests of foreign policy are national security related. Security objectives and impact levels associated with such national security information are determined by the head of each agency exercising control of the system and are outside the scope of this guideline.

D.5.1 Foreign Relations Information Type

Foreign Relations refers to those activities associated with the implementation of foreign policy and diplomatic relations, including the operation of embassies, consulates, and other posts; ongoing membership in international organizations; the development of cooperative frameworks to improve relations with other Nations; and the development of treaties and agreements. Conflict resolution involves the mitigation and prevention of disputes stemming from inter and intra-state disagreements.

Some conflict resolution information is subject to security classification. This classified information is treated under separate rules established for national security information and is outside the scope of this guideline.

Treaties and agreements involves the negotiation and implementation of accords with foreign governments and organizations in efforts related to arms reduction and regulation, trade matters, criminal investigations and extraditions, and other various types of foreign policy. When treaties and agreements information affects intelligence gathering and/or law enforcement cooperation, impacts to such information and the information systems that process and store the information

---

could result in negative impacts on protection of a broad range of critical infrastructures and key national assets.

Some information associated with treaties and agreements is subject to security classification. This classified information is treated under separate rules established for national security information. The recommended categorization for unclassified foreign relations information follows:

Security Category = {{(confidentiality, High), (integrity, High), (availability, Moderate)}}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of conflict resolution information on the ability of responsible agencies to mitigate and prevent disputes stemming from inter and intra-state disagreements. Unauthorized disclosure of conflict resolution information can reasonably be expected to jeopardize fulfillment of conflict resolution missions. This is particularly true of premature release of resolution factors, personnel profiles, and proposed solutions to adversaries. Some information that has supported a conflict resolution process may undo the results of successful conflict resolution processes. The loss of public confidence in the agency may cause a catastrophic adverse effect on an agency’s mission capability. Where information includes candid opinions of agency personnel, or involvement of agency personnel in specific prior activities, the effectiveness of those personnel for many future agency missions may be permanently impaired. The consequences of failed conflict resolution activities may pose threats to human life and major property assets.

The level of confidentiality impact assigned to treaties and agreements information is determined by the ability of responsible agencies to negotiate and implement accords with foreign governments and organizations in efforts related to arms reduction and regulation, trade matters, criminal investigations and extraditions, and other types of foreign policy. Unauthorized disclosure of information associated with treaties and agreements can reasonably be expected to prevent successful negotiation and/or ratification of treaties and agreements. This is particularly true of prematurely released resolution factors, personality assessments, and proposed solutions to adversaries. Some information that has supported a treaty or other international agreement process may undo the results of a successfully completed treaty or agreement. The subsequent threat to public confidence in the agency can cause a catastrophic adverse effect on an agency’s mission capability. When the disclosed information includes candid opinions of agency personnel, or background information on agency personnel, the effectiveness of those personnel for future agency missions may be permanently impaired. The consequences of failure to successfully conclude treaties and other international agreements often pose threats to human life and major property assets.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for foreign relations information is high.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The
consequences of unauthorized modification or destruction of conflict resolution information depend on whether the information is time-critical.

The consequences of unauthorized modification or destruction of information associated with treaties and agreements also depend on the time-critical nature of the information. The unauthorized modification or destruction of information affecting external communications (e.g., web pages, electronic mail) may affect operations and/or public confidence in the agency, but the damage to the mission would usually be limited.

The unauthorized modification or destruction of information affecting conflict resolution information may adversely affect mission operations in a manner that results in unacceptable consequences such as loss of human life and/or major property assets.

The consequences of unauthorized modification or destruction of information can be very serious if the modification is to time-critical operational information.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for foreign relations information is **high**.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to foreign relations information.

**Special Factors Affecting Availability Impact Determination:** Diplomatic missions are often tolerant of delays. Therefore, the availability impact level assigned to information associated with treaties and agreements that are associated with diplomatic missions is **low**. Where this is not the case, the availability impact for foreign relations information associated with treaties and agreements may be **high**.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for foreign relations information is **moderate**.

**D.5.2 International Development and Humanitarian Aid Information Type**

International Development and Humanitarian Aid refers to those activities related to the implementation of development and humanitarian assistance programs to developing and transitioning countries throughout the world. Development and aid may include technical assistance (the transfer of knowledge and expertise), and the delivery of equipment, commodities and humanitarian assistance including food aid. In some cases, international development and humanitarian aid information is subject to security classification. This classified information is treated under separate rules established for *national security information*. The recommended categorization for unclassified international development and humanitarian aid information follows:

Security Category = {\{confidentiality, Moderate\), \{integrity, Low\), \{availability, Low\)}
Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of international development and humanitarian aid information on the ability of responsible agencies to execute programs relating to debt relief, foreign investments, poverty alleviation and food relief, foreign market expansion, and donations, as well as the establishment of policies and procedures to facilitate economic development.

Special Factors Affecting Confidentiality Impact Determination: The unauthorized disclosure of international development and humanitarian aid information may not directly jeopardize foreign socio-economic and political development missions. However, the premature disclosure of this information may adversely affect agency credibility or give unfair competitive advantages to some candidates for mission support activities. These secondary effects may have a negative effect on the intended beneficiaries and can result, in extreme cases, in threats to human life, major assets, or the ability of the agency to perform future missions. Some information that has supported an international development and humanitarian aid process can even undo the results of previously completed foreign socio-economic and political development processes. Where there is a possibility of catastrophic consequences such as threats to human life and major property assets, a \textit{high} confidentiality impact level must be assigned.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for international development and humanitarian aid information is \textit{moderate}.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of international development and humanitarian aid information depend on whether the information is time-critical. Unauthorized modification or destruction of information affecting external communications (e.g., web pages, electronic mail) may adversely affect operations and/or public confidence in the agency, but the damage to the mission would usually be limited.

Special Factors Affecting Integrity Impact Determination: The consequences of unauthorized modification or destruction of information can be very serious or catastrophic if the modification is to time-critical operational information. In such cases, the impact level assigned would be \textit{moderate} or \textit{high}.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for most international development and humanitarian aid information is \textit{low}.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to international development and humanitarian aid information.

Special Factors Affecting Availability Impact Determination: Generally, international development and humanitarian aid missions are tolerant of delays. Where this is not the case, the
availability impact associated with international development and humanitarian aid information may be moderate or high.

Recommended Availability Impact Level: The provisional availability impact level recommended for international development and humanitarian aid information is low.

D.5.3 Global Trade Information Type

Global Trade refers to those activities the Federal Government undertakes to advance worldwide economic prosperity by increasing trade through the opening of overseas markets and freeing the flow of goods, services, and capital. Trade encompasses all activities associated with the importing and exporting of goods to and from the United States. This includes goods declaration, fee payments, and delivery/shipment authorization. Export promotion involves the development of opportunities for the expansion of U.S. exports. Merchandise inspection includes the verification of goods and merchandise as well as the surveillance, interdiction, and investigation of imports/exports in violation of various Customs laws. Tariffs/quotas monitoring refers to the monitoring and modification of the schedules of items imported and exported to and from the United States. The recommended categorization for the global trade information type follows:

Security Category = {(confidentiality, High), (integrity, High), (availability, High)}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of export promotion information on the ability of responsible agencies to advance worldwide economic prosperity by increasing trade through the opening of overseas markets and freeing the flow of goods, services, and capital. Also, the confidentiality impact level is the effect of unauthorized disclosure of merchandise inspection information on the ability of responsible agencies to accurately determine, report, and record the discovered status of imported or exported merchandise as it bears on violations of various Customs laws. Generally, the unauthorized disclosure of merchandise inspection information will not jeopardize the completion of other merchandise inspection missions, as shipment status is generally information of public record. The confidentiality impact level is also the effect of unauthorized disclosure of tariffs/quotas monitoring information on the ability of responsible agencies to enforce various Customs laws, and preserve statistical data concerning the historical compliance with such laws. Typically, the unauthorized disclosure of tariffs/quotas monitoring information will not jeopardize the completion of other tariffs/quotas monitoring missions because the information is publicly available.

Unauthorized disclosure of information that has supported an export promotion process may undo the results of successful export promotion processes. The consequent threat to agency image or reputations can cause a catastrophic adverse effect on an agency’s mission capability. Consequently, the general confidentiality impact level associated with export promotion information is high. Some information that has supported a tariffs/quotas monitoring process
might be of higher sensitivity, such as intelligence information\(^{27}\) that might point to a dumping situation. The unauthorized disclosure of this information might jeopardize the success of future tariffs/quotas monitoring processes. Consequently, the confidentiality impact level associated with tariffs/quotas monitoring information is high.

Intelligence information is included in national security systems. National security information and national security systems are outside the scope of this guideline.

Some information that has supported a merchandise inspection process might be of higher sensitivity. The unauthorized disclosure of this information might jeopardize the success of future merchandise inspection processes. The consequent threat to agency image or reputations may cause a serious adverse effect on an agency’s mission capability. Consequently, the general confidentiality impact level associated with merchandise inspection information is high.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for global trade information is high.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of global trade information depends on whether the information is time-critical.

Unauthorized modification or destruction of information affecting export promotion information may adversely affect mission operations and result in potentially serious economic repercussions.

Trade agreements that have been implemented are generally matters of public record. Therefore, the specific negotiated terms, etc., must be accurately recorded.

The modification of merchandise inspection information may result in significant financial consequences to an importer or exporter whose shipment is in question and may adversely affect mission operations and result in potentially serious economic repercussions. The results of completed inspections are matters of public record and must be accurately recorded.

For tariffs/quotas monitoring information, the requirement for adequate means to detect data corruption is high. This information is used in policy and strategic analysis, and the accuracy of this statistical information is critical. Unauthorized modification or destruction of information affecting tariffs/quotas monitoring information may adversely affect mission operations and result in potentially catastrophic economic repercussions.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for global trade information is **high**.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to global trade information.

Export promotion and merchandise inspection missions are generally tolerant of significant delays. If the export promotion and merchandise inspection information are time-critical, the availability impact may be **high**. This would be the case where such an occurrence could result in significant financial consequences as a result of uncertainty regarding the status of an imported or exported shipment.

Tariffs/quotas monitoring missions are also tolerant of significant delays. Typically, this information is used in high level policy and strategic analysis, and denial of access might cause an inconvenience but no significant mission impact. However, the availability impact associated with tariffs/quotas monitoring information may be **high**, if denial of access could result in serious damage to the image or reputation of an agency resulting from uncertainty regarding the compliance statistics of a major sovereign trade partner.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for global trade information is **high**.

**D.6 Natural Resources**

The Natural Resources mission area includes all activities involved in conservation planning, land management, and national park/monument tourism that affect the nation's natural and recreational resources, both private and federal. Note: Energy-related natural resources are covered in the Energy Management mission area.

**D.6.1 Water Resource Management Information Type**

Water Resource Management includes all activities that promote the effective use and management of the nation’s water resources. Notes: Environmental protection of water resources is included in the Environmental Management Line of Business. Hydroelectric energy production is included under the Energy Production mission. The recommended provisional categorization of the water resource management information type follows:

Security Category = \{(confidentiality, Low), (integrity, Low), (availability, Low)\}

**Confidentiality**

The confidentiality impact level is the effect of unauthorized disclosure of water resource management information on the ability of responsible agencies to promote the effective use and management of the nation’s water resources. The consequences of unauthorized disclosure of most water resource management information would have, at most, a limited adverse effect on agency operations, agency assets, or individuals.
Special Factors Affecting Confidentiality Impact Determination: There may be some cases for which **moderate** confidentiality impact is associated with unauthorized disclosure of business/industry development. For example, unauthorized disclosure of details of current agency water resource management activities and plans may focus opposition and/or give an unfair advantage to competing interests. Consistent premature disclosure of agency plans may cause significant degradation in mission capability.

**Recommended Confidentiality Impact Level:** The provisional confidentiality impact level recommended for water resource management information is **low**.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of water resource management information depends on whether the information is time-critical. Unauthorized modification or destruction of information affecting external communications associated with water resource management information (e.g., web pages, electronic mail) may adversely affect operations and/or public confidence in the agency, but the damage to the mission would usually be limited.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for most water resource management information is **low**.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission. Generally, missions supported by water resource management information are tolerant of delay.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for water resource management information is **low**.

**D.6.2 Conservation, Marine and Land Management Information Type**

Conservation, Marine and Land Management involves the responsibilities of surveying, maintaining, and operating public lands and monuments, as well as activities devoted to ensuring the preservation of land, water, wildlife, and natural resources, both domestically and internationally. It also includes the sustainable stewardship of natural resources on federally owned/controlled lands for commercial use (mineral mining, grazing, forestry, fishing, etc.). The recommended provisional categorization of the conservation, marine, and land management information type follows:

Security Category = \{(confidentiality, Low), (integrity, Low), (availability, Low)\}
Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of conservation, marine, and land management information on the ability of responsible agencies to survey, maintain, and operate public lands and monuments, as well as to ensure the preservation of land, water, wildlife, and natural resources, both domestically and internationally. The consequences of unauthorized disclosure of most conservation, marine, and land management information would have a limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: There may be some cases for which moderate confidentiality impact is associated with unauthorized disclosure of private or proprietary information associated with use of federally owned/controlled lands for commercial use (mineral mining, grazing, forestry, fishing, etc.). Additionally, unauthorized disclosure of details of current agency conservation, marine, and land management activities and plans may focus opposition and/or give an unfair advantage to competing interests. Consistent premature disclosure of agency plans may cause significant degradation in mission capability. Also, conservation, marine, and land management include enforcement functions (e.g., the policing of marine fisheries). Confidentiality impacts associated with criminal apprehension, criminal investigation and surveillance, citizen protection, and property protection may cause the confidentiality impact of enforcement-related information to be moderate or high.

Recommended Confidentiality Impact Level: The provisional confidentiality impact recommended for most conservation, marine, and land management information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of conservation, marine, and land management information depends on whether the information is time-critical.

Special Factors Affecting Integrity Impact Determination: Unauthorized modification or destruction of information affecting external communications associated with conservation, marine, and land management information (e.g., web pages, electronic mail) may adversely affect operations and/or public confidence in the agency, but the damage to the mission would usually be limited. Conservation, marine, and land management include enforcement functions (e.g., the policing of marine fisheries). Integrity impacts associated with criminal apprehension, criminal investigation and surveillance, citizen protection, and property protection may cause the integrity impact of enforcement-related information to be moderate. Particularly during fire season, the integrity of land management information critical to fire-fighting operations can affect the safety of human life and large-scale property damage. Such information can have a high integrity impact level.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for most conservation, marine, and land management information is low.
Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to conservation, marine, and land management information. Typically, missions supported by conservation, marine, and land management information are tolerant of delay.

Special Factors Affecting Availability Impact Determination: Conservation, marine, and land management include enforcement functions (e.g., the policing of marine fisheries). Availability impacts associated with criminal apprehension, criminal investigation and surveillance, citizen protection, and property protection may cause the availability impact of enforcement-related information to be moderate or high. Particularly during fire season, the availability of land management information critical to fire-fighting operations can affect the safety of human life and large-scale property damage. Such information can have a high availability impact level.

Recommended Availability Impact Level: The provisional availability impact level recommended for most conservation, marine, and land management information is low.

D.6.3 Recreational Resource Management and Tourism Information Type

Recreational Resource Management and Tourism involves the management of national parks, monuments, and tourist attractions as well as visitor centers, campsites, and park service facilities. Impacts to some information and information systems associated with tourism management may affect the security of some key national assets (e.g., some national monuments and icons). The recommended provisional categorization of the recreational resource management and tourism information type follows:

Security Category = \{(confidentiality, Low), (integrity, Low), (availability, Low)\}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of recreational resource management and tourism information on the ability of responsible agencies to manage national parks, monuments, and tourist attractions as well as visitor centers, campsites, and park service facilities. The consequences of unauthorized disclosure of most recreational resource management and tourism information would have a limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: Recreational resource management and tourism include enforcement functions (e.g., protective and enforcement functions of the National Park Service). Confidentiality impacts associated with criminal apprehension, criminal investigation and surveillance, citizen protection, and property protection may cause the confidentiality impact of enforcement-related information to be moderate or high. The consequences of unauthorized disclosure of property and tourist protection information can be particularly severe in the case of protection of national monuments and icons.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for most recreational resource management and tourism information is low.
Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of recreational resource management and tourism information depends on whether the information is time-critical. Unauthorized modification or destruction of information affecting external communications associated with recreational resource management and tourism information (e.g., web pages, electronic mail) may adversely affect operations and/or public confidence in the agency, but the damage to the mission would usually be limited.

Special Factors Affecting Integrity Impact Determination: Recreational resource management and tourism include enforcement functions (e.g., protective and enforcement functions of the National Park Service). Integrity impacts associated with criminal apprehension, criminal investigation and surveillance, citizen protection, and property protection may cause the integrity impact of enforcement-related information to be moderate or high. These types of enforcement-related information are time-critical. Where terrorists or other criminals pose a threat to key national assets, or pose a threat to human life, the integrity impact level recommended for recreational resource management and tourism enforcement information is high.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for most recreational resource management and tourism information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to recreational resource management and tourism information. Generally, missions supported by recreational resource management and tourism information are tolerant of delays.

Special Factors Affecting Availability Impact Determination: Recreational resource management and tourism include enforcement functions (e.g., protective and enforcement functions of the National Park Service). Availability impacts associated with criminal apprehension, criminal investigation and surveillance, citizen protection, and property protection may cause the confidentiality impact of enforcement-related information to be moderate or high.

There may also be time-critical cases associated with protection of people and key national assets from natural disasters (such as fires, unexpected blizzards, or volcanic eruptions). In such cases, the availability impact may be high. Except for time-critical information, the availability impact level recommended for protection-related information is typically moderate.

Recommended Availability Impact Level: Most recreational resource management and tourism information is routine in nature (not time-critical). Consequently, the provisional availability impact level recommended for most recreational resource management and tourism information is low.
D.6.4 Agricultural Innovation and Services Information Type

Agricultural Innovation and Services involves the creation and dissemination of better methods for farming and the development of better and healthier crops. The recommended security categorization for the agricultural innovation and service information type is as follows:

Security Category = \{(\text{confidentiality, Low}), (\text{integrity, Low}), (\text{availability, Low})\}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of agricultural innovation and service information on the ability of responsible agencies to create and disseminate of better methods for farming and the development of better and healthier crops. In most cases, unauthorized disclosure of agricultural innovation and service information will have only a limited adverse effect on agency operations, assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: In some cases, unauthorized disclosure of preliminary findings or policies under consideration regarding proposed agricultural products may result in domestic or international public relations problems for the Federal government. In such cases, serious damage can result for agricultural innovation and service operations. Here, the confidentiality impact level may be moderate.

In other cases, unauthorized disclosure of information regarding creation, storage, and transportation of dangerous plant disease vectors, animal disease vectors, pesticides, and herbicides might facilitate malicious activities by terrorists or other criminals. Here, there is a potential for loss of human life, so the confidentiality impact level may be high.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for most agricultural innovation and service information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. Agricultural innovation and service activities are not generally time-critical. In most cases, the adverse effects of unauthorized modification to or destruction of agricultural innovation and service information on agency mission functions and public confidence in the agency can be expected to be limited.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for agricultural innovation and service information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to agricultural innovation and service information. Loan assistance processes are generally tolerant of delay. In most cases, disruption of access to agricultural innovation and service information can be expected to have only a limited adverse effect on agency operations, agency assets, or individuals.
Recommended Availability Impact Level: The provisional availability impact level recommended for agricultural innovation and service information is low.

D.7 Energy

Energy refers to all actions performed by the government to ensure the procurement and management of energy resources, including the production, sale and distribution of energy, as well as the management of spent fuel resources. Energy management includes all types of mass-produced energy (e.g., hydroelectric, nuclear, wind, solar, or fossil fuels). Also included in this mission area is the oversight of private industry.

D.7.1 Energy Supply Information Type

Energy Supply involves all activities devoted to ensuring the availability of an adequate supply of energy for the United States and its citizens. Energy Supply includes the sale and transportation of commodity fuels such as coal, oil, natural gas, and radioactive materials. This function also includes distributing and transferring power, electric generation, and/or storage located near the point of use. Impacts to some information and information systems associated with energy supply may affect the security of critical infrastructures, particularly in the areas of energy transmission and transport. The following recommended provisional categorization of the energy supply information type is particularly subject to change where critical infrastructure elements or nuclear materials are involved:

Security Category = \{\text{confidentiality, Low}^{28}, \text{integrity, Low}^{22}, \text{availability, Low}^{29}\}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of energy supply information on the ability of responsible agencies to conduct activities related to the sale and transportation of commodity fuels such as coal, oil, natural gas, and radioactive materials. This function also includes distributing and transferring power, electric generation, and/or storage located near the point of use. Unauthorized modification or destruction of information affecting external communications (e.g., web pages, electronic mail) may adversely affect operations and/or public confidence in the agency, but the damage to the mission would usually be limited.

Special Factors Affecting Confidentiality Impact Determination: The consequences of unauthorized disclosure of energy supply information can have a serious economic impact with respect to competitive advantages and financial and commodity market dynamics. Also, the unauthorized disclosure of supply information may assist terrorists in the theft of energy products or disruption of energy distribution channels. Facilitation of theft of nuclear materials is a particularly catastrophic potential result of unauthorized disclosure of specific types of energy supply information. In these cases, the confidentiality impact must be considered to be high.

---

28 Risk level is usually high where safety of radioactive materials, highly flammable fuels, or major transmission channels or control processes is at risk.

29 Risk level is usually moderate or high where time-critical processes are involved.
[Some information regarding transportation and storage of nuclear materials is classified. The
classified information is national security related and is outside the scope of this guideline.
Other information, such as Nuclear Regulatory Commission “SAFEGUARDS” information is not national security information, but must be treated as having high confidentiality impact.]

With respect to possible use by terrorists of energy distribution information regarding petroleum,
natural gas, and other flammable or explosive products, a realistic impact assessment must
include energy distribution information from private companies. This information is also
susceptible to access by terrorists. Where distribution of hazardous energy products is involved,
there is a potential unauthorized disclosure consequence of loss of human life and major
property. In such cases the confidentiality impact level can be moderate or high. [Disclosure of
transportation routes and storage facilities is often (i) both authorized and necessary to mission
accomplishment and (ii) authorized, or even mandated, for public safety reasons.] Also, the
unauthorized disclosure of one agency’s energy supply information by another agency could
result in negative impacts on cross-jurisdictional coordination within the energy distribution
infrastructure and the general effectiveness of organizations tasked with energy supply.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level
recommended for most energy supply information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission,
not on the time required to detect the modification or destruction of information. The
consequences of unauthorized modification or destruction of energy supply information usually
depends on whether the information is time-critical.

Special Factors Affecting Integrity Impact Determination: Undetected modification of automated
switching functions in distribution channels (e.g., electrical power distribution, petroleum or gas
pipelines) can result in loss of major assets or of human life. Consequently, the integrity impact
level associated with these types of energy supply information used to control critical processes
in real time is high.

Recommended Integrity Impact Level: The provisional integrity impact level recommended most
energy supply information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that
mission, not on the time required to re-establish access to energy supply information.
Typically, disruption of access will have a limited adverse effect on agency operations
(including mission, functions, or public confidence in the agency), agency assets, or
individuals. Also, most energy supply information is not time-critical.

Special Factors Affecting Availability Impact Determination: Functions supported by energy
supply information are often not tolerant of delays. Delays may cost lives and major property
damage, e.g., significant degradation in mission capability and resultant serious
consequences for critical infrastructures, key national assets, and/or human life. In these cases, the availability impact level associated with energy supply information can be *high*.

**Recommended Availability Impact Level:** In the availability impact level recommended for most energy supply information is *low*.

### D.7.2 Energy Conservation and Preparedness Information Type

Energy Conservation and Preparedness involves protection of energy resources from over-consumption to ensure the continued availability of fuel resources and to promote environmental protection. This mission also includes measures taken to ensure the provision of energy in the event of an emergency. The recommended security categorization for the energy conservation and preparedness information type is as follows:

**Security Category = {(confidentiality, Low), (integrity, Low), (availability, Low)}**

**Confidentiality**

The confidentiality impact level is the effect of unauthorized disclosure of energy conservation and preparedness information on the ability of responsible agencies to protect energy resources from over-consumption to ensure the continued availability of fuel resources and to promote environmental protection. In most cases, unauthorized disclosure of energy conservation and preparedness information will have only a limited adverse effect on agency operations, assets, or individuals.

**Special Factors Affecting Confidentiality Impact Determination:** In some cases, unauthorized disclosure of preliminary findings or policies under consideration regarding proposed conservation measures or the distribution of energy in the event of an emergency may result in mobilization of special interests. These groups may successfully oppose necessary conservation measures and be given an unfair advantage for specific commercial interests. Also, the unauthorized disclosure may cause domestic or international loss of confidence in the Federal government. In such cases, serious damage may result for energy conservation and preparedness operations. Therefore, the confidentiality impact level may be *moderate*.

In other cases, unauthorized disclosure of information regarding measures taken to ensure the provision of energy in the event of an emergency may facilitate malicious activities of terrorists. Here, there is a potential for loss of human life resulting from extended outages, so the confidentiality impact level may be *high*.

**Recommended Confidentiality Impact Level:** The provisional confidentiality impact level recommended for most energy conservation and preparedness information is *low*.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. In most cases, the adverse effects of unauthorized modification or destruction of energy conservation and
preparedness information on agency mission functions and public confidence in the agency will be limited

Special Factors Affecting Integrity Impact Determination: Unauthorized modification or destruction of information necessary to time-critical processes ensuring the provision of energy in the event of an emergency can result in extended outages. There is some potential for a consequent threat to critical energy infrastructure and to human life. In such cases, the integrity impact level may be \textit{high}.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for energy conservation and preparedness information is \textit{low}.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to energy conservation and preparedness information. Loan assistance processes are generally tolerant of delay. In most cases disruption of access to energy conservation and preparedness information will have only a limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Availability Impact Determination: Unavailability of information necessary to time-critical processes ensuring the provision of energy in the event of an emergency may result in extended outages. There is some potential for a consequent threat to critical energy infrastructure and to human life. In such cases, the availability impact level may be \textit{high}.

Recommended Availability Impact Level: The provisional availability impact level recommended for energy conservation and preparedness information is \textit{low}.

D.7.3 Energy Resource Management Information Type

Energy resource management involves the management of energy producing resources including facilities, land, and offshore resources. The recommended provisional categorization of the energy resource management information type follows:

Security Category = \{(confidentiality, Moderate), (integrity, Low), (availability, Low)\}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of energy resource management information on the activities of responsible agencies with respect to management of energy producing resources including facilities, land, and offshore resources.

Special Factors Affecting Confidentiality Impact Determination: Unauthorized disclosure of much energy resource management information can result in major financial consequences and impact financial markets and have a serious adverse effect on public confidence in the agency. In some cases, the probable consequences of damage to public confidence in the agency can even be \textit{high}. 
Recommended Confidentiality Impact Level: The consequences of unauthorized disclosure of some energy resource management information would have only a limited adverse effect on agency operations. However, the consequences that can be expected to result from unauthorized disclosure of most energy resource management information justify a moderate provisional confidentiality impact level.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of energy resource management information may depend on the urgency with which the information is typically needed. Unauthorized modification or destruction of information affecting external communications (e.g., web pages, electronic mail) may adversely affect operations and/or public confidence in the agency, but the damage to the mission would usually be limited.

Special Factors Affecting Integrity Impact Determination: If the energy resource management information is time-critical or very sensitive, the integrity impact level may be moderate or high.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for most energy resource management information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to energy resource management information. Generally, missions supported by energy resource management information are tolerant of delay.

Recommended Availability Impact Level: The provisional availability impact level recommended for energy resource management information is low.

D.7.4 Energy Production Information Type

Energy production involves the transformation of raw energy resources into useable, deliverable energy. Impacts to some information and information systems associated with energy production may affect the security of the critical energy infrastructure. The recommended provisional categorization of the energy production information type follows:

Security Category = {confidentiality, Low), (integrity, Low), (availability, Low)}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of energy production information on the activities of responsible agencies with respect to transformation of raw energy resources into useable, deliverable energy. The consequences of unauthorized disclosure of most energy production information would have only a limited adverse effect on agency operations, agency assets, or individuals.
Special Factors Affecting Confidentiality Impact Determination: Unauthorized disclosure of some energy production information can result in major financial consequences. In some cases, premature disclosure of this information can impact financial markets. Unauthorized disclosure to a single institution could damage faith in government institutions, result in adverse financial events, and have a serious adverse effect on public confidence in the agency. Therefore, the confidentiality impact should be at least moderate for this energy production information.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for most energy production information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of energy production information may depend on the urgency with which the information is typically needed. Unauthorized modification or destruction of information affecting external communications (e.g., web pages, electronic mail) may adversely affect operations or public confidence in the agency, but the damage to the mission would usually be limited.

Special Factors Affecting Integrity Impact Determination: If the energy production information is time-critical or very sensitive, the integrity impact level may be moderate or high.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for most energy production information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to energy production information. Missions supported by energy production information are generally tolerant of delays.

Recommended Availability Impact Level: The provisional availability impact level recommended for energy production information is low.

D.8 Environmental Management

Environmental management includes all functions required to determine proper environmental standards and ensure their compliance.

D.8.1 Environmental Monitoring and Forecasting Information Type

Environmental Monitoring and Forecasting involves the observation and prediction of environmental conditions. This includes the monitoring and forecasting of water quality, water levels, ice sheets, air quality, regulated and non-regulated emissions, as well as the observation and prediction of weather patterns and conditions. The following provisional security
categorization is recommended for the environmental monitoring and forecasting information type:

Security Category = {(confidentiality, Low), (integrity, Moderate), (availability, Low)}

Confidentiality
The confidentiality impact level is the effect of unauthorized disclosure of environmental monitoring and forecasting information on the ability of responsible agencies to observe and predict environmental conditions. The consequences of unauthorized disclosure of most environmental monitoring information are unlikely to have a serious adverse effect on agency operations.

Special Factors Affecting Confidentiality Impact Determination: The most serious adverse effects are likely to involve exposure of information that is proprietary to an organization or result in damaging publicity for an organization. Unauthorized disclosure of some information can have serious economic impact on both individual companies and the broader market place. The consequences of such unauthorized disclosures may have an adverse effect on public confidence in the agency. In such cases, the potential confidentiality impacts may be at least moderate.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for most environmental monitoring and forecasting information is low.

Integrity
The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of environmental monitoring information and forecasting can be serious if the public is exposed to harmful emissions, polluted water, etc.

Special Factors Affecting Integrity Impact Determination: Unauthorized modification or destruction of information affecting external communications (e.g., web pages, electronic mail) may adversely affect operations and public confidence in the agency, but also the agency mission. In some cases, unauthorized modification or destruction of information can result in loss of human life - a high-impact potential.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for environmental monitoring and forecasting information is moderate.

Availability
The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to environmental monitoring and forecasting information. Except for cases of emergency bulletins necessary to correct existing threats to public safety, the nature of environmental monitoring and forecasting processes is usually tolerant of reasonable delays.
Recommended Availability Impact Level: The provisional availability impact level recommended for environmental monitoring and forecasting information is *low*.

**D.8.2 Environmental Remediation Information Type**

Environmental remediation supports the immediate and long-term activities associated with the correcting and offsetting of environmental deficiencies or imbalances, including restoration activities. The following security categorization is recommended for the environmental remediation information type:

Security Category = {(confidentiality, Moderate), (integrity, Low), (availability, Low)}

**Confidentiality**

The confidentiality impact level is the effect of unauthorized disclosure of environmental remediation information on the immediate and long-term activities of responsible agencies with respect to correcting and offsetting environmental deficiencies or imbalances. Serious adverse effects are likely to result from 1) exposure of information that is premature and not fully checked for accuracy and that can damage public confidence in an organization targeted for remedial action, 2) unauthorized disclosure of information that is proprietary to an organization, 3) unauthorized disclosure of information concerning proposed remediation that may be used by organizations opposing particular remedial actions, and 4) disclosure of an agency’s tactics for enforcing remediation that will have an adverse effect on the enforcement action. The consequences of such unauthorized disclosures may have a serious adverse effect on public confidence in the agency, have a serious adverse effect on agency operations, and place the agency at a significant disadvantage.

**Recommended Confidentiality Impact Level:** The provisional confidentiality impact level recommended for environmental remediation information is *moderate*.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of environmental remediation information may depend on the urgency with which the information is typically needed.

Unauthorized modification or destruction of information affecting external communications (e.g., web pages, electronic mail) may adversely affect operations, public confidence in the agency, and the agency mission.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for environmental remediation information is *low*.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to environmental remediation
information. Except for cases of emergency bulletins necessary to correct existing threats to public safety, environmental remediation processes are usually tolerant of reasonable delays.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for environmental remediation information is *low*.

### D.8.3 Pollution Prevention And Control Information Type

Pollution prevention and control includes activities associated with the establishment of environmental standards to control the levels of harmful substances emitted into the soil, water and atmosphere. The following security categorization is recommended for the pollution prevention and control information type:

<table>
<thead>
<tr>
<th>Security Category</th>
</tr>
</thead>
<tbody>
<tr>
<td>(confidentiality, Low), (integrity, Low), (availability, Low)</td>
</tr>
</tbody>
</table>

**Confidentiality**

The confidentiality impact level is the effect of unauthorized disclosure of pollution prevention and control information on the abilities of responsible agencies to establish environmental standards to control the levels of harmful substances emitted into the soil, water and atmosphere. Unauthorized disclosure of pollution prevention and control information can result in incomplete information being published as agency standards or policy, misunderstandings that prevent or increase the difficulty of promulgating standards, or the discrediting of valid proposed standards or policies by exposure of partial information out of context. The consequences of such unauthorized disclosures may have an adverse effect on public confidence in the agency, or agency operations and may place the agency at an operational disadvantage. Most unauthorized disclosure of pollution prevention and control information will have only a limited adverse effect on the affected agency.

**Recommended Confidentiality Impact Level:** The provisional confidentiality impact level recommended for pollution prevention and control information is *low*.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of pollution prevention and control information may depend on the urgency with which the information is typically needed.

Unauthorized modification or destruction of information affecting external communications (e.g., web pages, electronic mail) may adversely affect operations, public confidence in the agency, and the agency mission.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for pollution prevention and control information is *low*. 
Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to pollution prevention and control information. Except for cases of emergency bulletins necessary to correct existing threats to public safety, pollution prevention and control processes are usually tolerant of delays.

Recommended Availability Impact Level: The provisional availability impact level recommended for pollution prevention and control information is low.

D.9 Economic Development

Economic Development includes the activities required to promote commercial/industrial development and to regulate the American financial industry to protect investors. It also includes the management and control of the domestic economy and the money supply, and the protection of intellectual property and innovation. Note: The promotion of U.S. business overseas is captured in the function, "International Affairs and Commerce."

D.9.1 Business and Industry Development Information Type

Business/industry development supports activities related to the creation of economic and business opportunities and stimulus, and the promotion of financial and economic stability for corporations and citizens involved in different types of business. The recommended provisional categorization of the business and industry development information type follows:

Security Category = {{(confidentiality, Low), (integrity, Low), (availability, Low)}}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of business and industry development information on the ability of responsible agencies to create economic and business opportunities and stimulus, and promote financial and economic stability for corporations and citizens involved in different types of business. The consequences of unauthorized disclosure of most business and industry development information would have, at most, a limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: There may be some cases for which moderate confidentiality impact is associated with unauthorized disclosure of business/industry development. For example, unauthorized disclosure of private information concerning individuals or businesses can result in legal expense and serious effects on public confidence in the agency. Similarly, unauthorized disclosure of details of current agency business and industry development activities and plans can serve to focus opposition and/or give an unfair advantage to competing interests. Additionally, there are legislative mandates prohibiting unauthorized disclosure of trade secrets. Trade secrets will generally be assigned a moderate confidentiality impact level.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for business/industry development information is low.
Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of business and industry development information may depend on the urgency with which the information is typically needed.

Unauthorized modification or destruction of information affecting external communications (e.g., web pages, electronic mail) may adversely affect operations and/or public confidence in the agency, but the damage to the mission would usually be limited.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for most business and industry development information is *low*.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to business and industry development information. Missions supported by business and industry development information are generally tolerant of delay.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for business and industry development information is *low*.

D.9.2 Intellectual Property Protection Information Type

Intellectual property protection involves law enforcement activities involving the enforcement of intellectual property including inventions, literary and artistic works, and symbols, names, images, and designs used in commerce. Note that intellectual property protection is an exception to the often-close relationship between impacts to law enforcement information and information systems and the security of critical infrastructures and key national assets. The following security categorization is recommended for the intellectual property protection information type:

Security Category = {(confidentiality, Low), (integrity, Low), (availability, Low)}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of intellectual property protection information on the abilities of responsible agencies to enforce intellectual property including inventions, literary and artistic works, and symbols, names, images, and designs used in commerce. The consequences of unauthorized disclosure of the majority of intellectual property protection information will result in, at most, a limited adverse effect on agency operations, agency assets, or individuals.

**Special Factors Affecting Confidentiality Impact Determination:** There are legislative mandates prohibiting unauthorized disclosure of trade secrets. Trade secrets will generally be assigned a *moderate* confidentiality impact level. In the case of patent activities, technical details of applications involving inventions with military applications and with deliberations concerning withholding patents as a result of national security considerations may be sensitive. (In some
cases, the patent application information may be classified or to contain information concerning weapons or weapons systems. In such cases, the information would be national security information, and outside the scope of this guideline.)

**Recommended Confidentiality Impact Level:** The provisional confidentiality impact level recommended for intellectual property protection information is **low**.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of intellectual property protection information depends on the criticality of the information with respect to agency mission capability, protection of agency assets, and safety of individuals. The effects of modification or deletion of this information are generally limited with respect to agency mission capabilities or assets.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for intellectual property protection information is **low**.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to intellectual property protection information. The nature of intellectual property protection processes is tolerant of reasonable delays.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for intellectual property protection information is **low**.

**D.9.3 Financial Sector Oversight Information Type**

Financial Sector Oversight involves the regulation of private sector firms and markets (stock exchanges, corporations, etc.) to protect investors from fraud, monopolies, and illegal behavior. This also includes deposit protection. The recommended provisional categorization of the financial sector oversight information type follows:

Security Category = {{confidentiality, Moderate}, (integrity, Low), (availability, Low)}

**Confidentiality**

The confidentiality impact level is the effect of unauthorized disclosure of financial sector oversight information on the ability of responsible agencies to regulate private sector firms and markets (stock exchanges, corporations, etc.) to protect investors from fraud, monopolies, and illegal behavior. This also includes deposit protection, creation, regulation, and control of the nation’s currency and coinage supply and demand.

**Special Factors Affecting Confidentiality Impact Determination:** While the consequences of unauthorized disclosure of some financial sector oversight information would have only a limited
adverse effect on agency operations, agency assets, or individuals, there are significant exceptions. Unauthorized disclosure of much financial sector oversight information can result in major financial consequences. This can result in assignment of a high impact level to such information.

In some cases, premature disclosure of regulatory information can impact major financial markets and damage national banking and finance infrastructures. For example, unauthorized disclosure of a decision to increase the money supply or of an ongoing securities fraud investigation can have a dramatic effect on financial markets. This can result in assignment of a high impact level to such information.

Unauthorized disclosure to a single institution (e.g., a major banking institution or brokerage house), could damage faith in regulatory institutions and result in even more market disruption and have a severe or catastrophic adverse effect on public confidence in the agency. This can result in assignment of a high impact level to such information.

Even where the consequences are limited to giving an unfair market advantage to a single financial or commercial institution, unauthorized disclosure can have a serious adverse effect on public confidence in the agency and its staff. This can result in assignment of a high impact level to such information.

**Recommended Confidentiality Impact Level:** The provisional confidentiality impact level recommended for financial sector oversight information is moderate.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of financial sector oversight information depends on whether the information is time-critical. Unauthorized modification or destruction of information affecting external communications (e.g., web pages, electronic mail) may adversely affect operations or public confidence in the agency, but the damage to the mission would usually be limited.

**Special Factors Affecting Integrity Impact Determination:** Where unauthorized modification or destruction of financial sector oversight information facilitates or enables catastrophic consequences, the integrity impact level may be high.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for most financial sector oversight information is low.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to financial sector oversight information. Missions supported by financial sector oversight information are generally tolerant of delay.
Recommended Availability Impact Level: The provisional availability impact level recommended for financial sector oversight information is low.

**D.9.4 Industry Sector Income Stabilization Information Type**

Industry Sector Income Stabilization involves all programs and activities devoted to assisting adversely impacted industrial sectors (farming, commercial transportation, etc.) to ensure the continued availability of their services for the American public and the long-term economic stability of these sectors. The provisional recommended security categorization for the industry sector income stabilization information type is as follows:

Security Category = {(confidentiality, Moderate), (integrity, Low), (availability, Low)}

**Confidentiality**

The confidentiality impact level is the effect of unauthorized disclosure of industry sector income stabilization information on the ability of responsible agencies to assist adversely impacted industrial sectors (farming, commercial transportation, etc.) to ensure the continued availability of their services for the American public and the long-term economic stability of these sectors. In most cases, unauthorized disclosure of industry sector income stabilization information will have only a limited adverse effect on agency operations, assets, or individuals. However, unauthorized premature disclosure of Federal government plans for industry sector income stabilization actions (e.g., grants or subsidies) as well as of government economic forecasts and commentary preliminary to formulation of plans may result in major financial consequences. Unauthorized and premature disclosure to a single institution (e.g., a major manufacturing institution, a major agribusiness institution, or a commodity brokerage house), could damage confidence in economic stabilization institutions and have a severe adverse effect on public confidence in the government.

**Recommended Confidentiality Impact Level:** The provisional confidentiality impact level recommended for industry sector income stabilization information is moderate.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. Industry sector income stabilization activities are not generally time-critical. In most cases, the adverse effects of unauthorized modification or destruction of industry sector income stabilization information on agency mission functions and public confidence in the agency will be limited.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for industry sector income stabilization information is low.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to industry sector income stabilization information. Industry sector income stabilization processes are generally tolerant of delay. In most cases, disruption of access to industry sector income stabilization information can be
expected to have only a limited adverse effect on agency operations, agency assets, or individuals.

Recommended Availability Impact Level: The provisional availability impact level recommended for industry sector income stabilization information is low.

D.10 Community and Social Services

Community and Social Services includes all activities aimed at creating, expanding, or improving community and social development, social relationships, and social services in the United States. This includes all activities aimed at locality-specific or nationwide social development and general social services and general community development and social services programs, as well as earned and unearned benefit programs that promote these objectives.

D.10.1 Homeownership Promotion Information Type

Homeownership Promotion includes activities devoted to assisting citizens interested in buying homes and educating the public as to the benefits of homeownership. Note: Activities devoted to the provision of housing to low-income members of the public are covered under the Housing Assistance mission. The recommended provisional categorization of the homeownership promotion information type follows:

Security Category = \{(confidentiality, Low), (integrity, Low), (availability, Low)\}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of homeownership promotion information on the ability of responsible agencies to assist citizens interested in buying homes and educating the public as to the benefits of homeownership. The consequences of unauthorized disclosure of most homeownership promotion information would have a limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: Exceptions that might have a potential for more serious consequences are based on privacy information processed in training and employment systems (e.g., information required by the Privacy Act of 1974 or other statutes and executive orders to receive special handling to protect the privacy of individuals). The Privacy Act Information provisional impact levels are documented in the Personal Identity and Authentication information type. This can result in assignment of a moderate impact level to such information.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for homeownership promotion information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of homeownership promotion
information would have, at most, a limited adverse effect on agency operations, agency assets, or individuals. Unauthorized modification or destruction of information affecting external communications (e.g., web pages, electronic mail) may adversely affect operations and/or public confidence in the agency, but the damage to the mission would usually be limited

Recommended Integrity Impact Level: The provisional integrity impact level recommended most homeownership promotion information is low.

Availability
The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to homeownership promotion information. The effects of disruption of access to most homeownership promotion information or information systems would have a limited adverse effect on agency operations, agency assets, or individuals.

Recommended Integrity Impact Level: The provisional availability impact level recommended for homeownership promotion information is low.

D.10.2 Community and Regional Development Information Type

The Community and Regional Development mission involves activities designed to assist communities in preventing and eliminating blight and deterioration, assist economically distressed communities, and encourage and foster economic development through improved public facilities and resources. The recommended provisional categorization of the community and regional development information type follows:

Security Category = {(confidentiality, Low), (integrity, Low), (availability, Low)}

Confidentiality
The confidentiality impact level is the effect of unauthorized disclosure of community and regional development information on the ability of responsible agencies to assist communities in preventing and eliminating blight and deterioration, assist economically distressed communities, and encourage and foster economic development through improved public facilities and resources. The consequences of unauthorized disclosure of most community and regional development information would have a limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: Exceptions that might have a potential for more serious consequences are based on privacy information processed in training and employment systems (e.g., information required by the Privacy Act of 1974 or other statutes and executive orders to receive special handling to protect the privacy of individuals). The Privacy Act Information provisional impact levels are documented in the Personal Identity and Authentication information type. Another exception might be unauthorized disclosure of information that gives an individual or corporate entity an unfair competitive advantage in obtaining contracts or other funding for development activities. This can result in assignment of a moderate impact level to such information.
Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for community and regional development information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of community and regional development information would have, at most, a limited adverse effect on agency operations, agency assets, or individuals.

Unauthorized modification or destruction of information affecting external communications (e.g., web pages, electronic mail) may adversely affect operations and/or public confidence in the agency, but the damage to the mission would usually be limited

Recommended Integrity Impact Level: The provisional integrity impact level recommended for most community and regional development information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to community and regional development information. The effects of disruption of access to most community and regional development information or information systems would have a limited adverse effect on agency operations, agency assets, or individuals.

Recommended Availability Impact Level: The provisional availability impact level recommended for community and regional development information is low.

D.10.3 Social Services Information Type

Social Services are designed to provide meaningful opportunities for social and economic growth of the disadvantaged sector of the population in order to develop individuals into productive and self-reliant citizens and promote social equity. Included in this category are social welfare services extended to children and adults with special needs, such as the orphaned, neglected, abandoned, disabled, etc. Such services include family life education and counseling, adoption, guardianship, foster family care, rehabilitation services, etc. Note: This mission does not include services that are primarily for income support (Income Security) or are an integral part of some other mission area (e.g., Health, Workforce Management, etc.). The recommended provisional categorization of the social services information type follows:

Security Category = {(confidentiality, Low), (integrity, Low), (availability, Low)}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of social services information on the ability of responsible agencies to provide meaningful opportunities for social and economic growth of the disadvantaged sector of the population in order to develop
individuals into productive and self-reliant citizens and promote social equity. The consequences of unauthorized disclosure of most social services information would have a limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: Exceptions that might have a potential for more serious consequences include privacy information processed in training and employment systems (e.g., information required by the Privacy Act of 1974 or other statutes and executive orders to receive special handling to protect the privacy of individuals). The Privacy Act Information provisional impact levels are documented in the Personal Identity and Authentication information type. Other exceptions include unauthorized disclosure of information that might assist criminals to perpetrate fraud, particularly with respect to income security disbursements. This can result in assignment of a moderate impact level to such information.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for social services information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of social services information would have, at most, a limited adverse effect on agency operations, agency assets, or individuals.

Unauthorized modification or destruction of information affecting external communications (e.g., web pages, electronic mail) may adversely affect operations and/or public confidence in the agency, but the damage to the mission would usually be limited. Another threat is that of unauthorized modification of information to support fraudulent activities. This might result in harm to individuals, but not to agency operations or missions.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for most social services information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to social services information. The effects of disruption of access to most social services information or information systems would have, at most, a limited adverse effect on agency operations, agency assets, or individuals.

Recommended Availability Impact Level: The provisional availability impact level recommended for social services information is low.

D.10.4 Postal Services Information Type

Postal Services provide for the timely and consistent exchange and delivery of mail and packages between businesses, organizations, and residents of the United States or between businesses,
organizations, and residents of the United States and the rest of the world. It also includes the nation-wide retail infrastructure required to make Postal Services easily accessible to customers. (Note: The commercial function of mail is more closely aligned with the “Business and Industry Development” mission in the “Economic Development mission area.” The international commercial function of mail is more closely aligned with the “Global Trade” mission in the “International Affairs” mission area). The recommended provisional categorization of thee postal services information type follows:

Security Category = \{\text{(confidentiality, Low), (integrity, Moderate), (availability, Moderate)}\}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of postal services information on the ability of responsible agencies to provide for the timely and consistent exchange and delivery of mail and packages between businesses, organizations, and residents of the United States or between businesses, organizations, and residents of the United States and the rest of the world. The consequences of unauthorized disclosure of most postal services information would have a limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: Exceptions that might have a potential for more serious consequences include privacy information (e.g., information required by the Privacy Act of 1974 or other statutes and executive orders to receive special handling to protect the privacy of individuals). The Privacy Act Information provisional impact levels are documented in the Personal Identity and Authentication information type. Other exceptions include unauthorized disclosure of information that might assist criminals to perpetrate fraud, particularly with respect to income security disbursements. Because registered mail can be employed to transmit classified information, information regarding some registered mail can facilitate unauthorized access to national security information. This can result in assignment of a moderate impact level to such information.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for most postal services information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of postal services information would have, at most, a limited adverse effect on agency operations, agency assets, or individuals. Unauthorized modification or destruction of information affecting external communications (e.g., web pages, electronic mail) may adversely affect operations and/or public confidence in the agency, but the damage to the mission would usually be limited.

Special Factors Affecting Integrity Impact Determination: The consequences of unauthorized modification or destruction of postal information might provide terrorists the tools to carry out an attack. The consequences in terms of critical infrastructure protection and risk to human life may be severe. In such cases, the integrity impact of compromise would be high. Another threat is
that of unauthorized modification of information to support fraudulent activities (e.g., misdirection of monetary instruments, execution of fraudulent financial transactions). This might result in harm to individuals, but not to agency operations or missions.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for most postal services information is *moderate*.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to postal services information. The effects of disruption of access to most postal services information or information systems would have an adverse effect on agency operations. Because most postal services information is time critical, extended widespread outages could seriously affect the commerce of the United States.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for postal services information is *moderate*.

**D.11 Transportation**

Transportation involves all federally supported activities related to the safe passage, conveyance, or transportation of goods and/or people. Note that impacts to some information and many information systems associated with transportation activities may affect the security of, not only the transportation infrastructure, but also to a broad range of other critical infrastructures and key national assets.

**D.11.1 Ground Transportation Information Type**

Ground Transportation involves the activities related to ensuring the availability of transit and the safe passage of passengers and goods over land. Water and fuel pipelines are included among ground transportation assets. Note: The protection of ground transportation from deliberate attack is included in the Transportation Security information type under the Homeland Security mission area. The recommended provisional security categorization for the ground transportation information type is as follows:

Security Category = \{(confidentiality, Low), (integrity, Low), (availability, Low)\}

**Confidentiality**

The confidentiality impact level is the effect of unauthorized disclosure of ground transportation information on the ability of responsible agencies to ensure the availability of transit and the safe passage of passengers and goods over land. The protection of ground transportation from deliberate attack is included in the Transportation Security information type under the Homeland Security mission area. For most cases, unauthorized disclosure of ground transportation information will have only a limited adverse effect on agency operations, assets, or individuals.
Special Factors Affecting Confidentiality Impact Determination: Some regulatory and tariff enforcement functions associated with the safe passage of passengers and goods over land involve relatively sensitive information. These are included in Law Enforcement. Unauthorized disclosure of accident investigation information that has not yet been adequately researched, coordinated, or edited can result in serious economic harm to individuals and to corporations. Loss in public confidence is a further potential consequence. Additionally, some information associated with ground transportation functions is proprietary to corporations or subject to privacy laws (e.g., the Privacy Act of 1974, HIPAA). (The Privacy Act Information provisional impact levels are documented in the Personal Identity and Authentication information type.) In such cases, the confidentiality impact resulting from unauthorized disclosure may be moderate.

Some military ground transportation information is national security information and is outside the scope of this guideline.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for ground transportation information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. In most cases, the adverse effects of unauthorized modification or destruction of ground transportation information on agency mission functions and public confidence in the agency will be limited.

Special Factors Affecting Integrity Impact Determination: Some ground transportation functions are time-critical (e.g., track switching functions associated with rail travel). Unauthorized modification or destruction of time-critical information necessary to these functions can result in large-scale property loss and in loss of human lives. Such information will have a high integrity impact level.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for ground transportation information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to ground transportation information. Most ground transportation processes are tolerant of reasonable delays. In most cases, disruption of access to ground transportation information can be expected to have only a limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Availability Impact Determination: Some ground transportation functions are time-critical (e.g., track switching functions associated with rail travel). Loss of availability of time-critical information necessary to these functions can result in large-scale property loss and in loss of human lives. Such information will have a high integrity impact level.
Recommended Availability Impact Level: The provisional availability impact level recommended for ground transportation information is low.

D.11.2 Water Transportation Information Type

Water Transportation involves the activities related to ensuring the availability of transit and the safe passage of passengers and goods over sea and water. Note: The protection of maritime transportation from deliberate attack is included in the Transportation Security information type under the Homeland Security mission area. The general recommended security categorization for the water transportation information type is as follows:

Security Category = \{\text{(confidentiality, Low)}, \text{(integrity, Low)}, \text{(availability, Low)}\}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of water transportation information on the ability of responsible agencies to ensure the availability of transit and the safe passage of passengers and goods over sea and water. The protection of water transportation from deliberate attack is included in the Transportation Security information type under the Homeland Security mission area. Some regulatory and tariff enforcement functions associated with the safe passage of passengers and goods over sea and water involve relatively sensitive information. These are included in Law Enforcement. In most cases, unauthorized disclosure of water transportation information will have only a limited adverse effect on agency operations, assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: Unauthorized disclosure of accident investigation information that has not been adequately researched, coordinated, or edited can result in serious economic harm to individuals and to corporations. Loss in public confidence is a further potential consequence. Additionally, some information associated with water transportation functions is proprietary to corporations or subject to privacy laws. In such cases, the confidentiality impact resulting from unauthorized disclosure can be moderate.

Some military sea and water transportation information is national security information and is outside the scope of this guideline.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for water transportation information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. In most cases, the adverse effects of unauthorized modification or destruction of water transportation information on agency mission functions and public confidence in the agency will be limited.

Special Factors Affecting Integrity Impact Determination: Some water and sea transportation functions are time-critical (e.g., distress signals, docking operations, collision avoidance, warnings of hazardous weather or sea conditions). Unauthorized modification or destruction of
time-critical information necessary to these functions can result in large-scale property loss and in loss of human lives. Such information would have a high integrity impact level. Communications management (e.g., frequency management) information also needs to be included in water transportation integrity impact considerations. There may be circumstances when errors in frequency assignment information can result in an inability for Federal government agencies to communicate with state or local government activities. The subsequent loss of communications capabilities can result in life-threatening situations. Such information would have a high integrity impact level.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for water transportation information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to water transportation information. Most water transportation processes are tolerant of reasonable delays. In most cases, disruption of access to water transportation information can be expected to have only a limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Availability Impact Determination: Some water and sea transportation functions are time-critical (e.g., distress signals, docking operations, collision avoidance, warnings of hazardous weather or sea conditions). Loss of availability of time-critical information necessary to these functions can result in large-scale property loss and in loss of human lives. Such information would have a high integrity impact level.

Recommended Availability Impact Level: The provisional availability impact level recommended for water transportation information is low.

D.11.3 Air Transportation Information Type

Air Transportation involves the activities related to the safe passage of passengers or goods through the air. It also includes command and control activities related to the safe movement of aircraft through all phases of flight for commercial and military operations. Note: The protection of air transportation from deliberate attack is included in the Transportation Security information type under the Homeland Security mission area. The general recommended security categorization for the air transportation information type is as follows:

\[
\text{Security Category} = \{(\text{confidentiality, Low}), (\text{integrity, Low}), (\text{availability, Low})\}
\]

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of air transportation information on the ability of responsible agencies to ensure the safe passage of passengers and goods through the air. The protection of air transportation from deliberate attack is included in the Transportation Security information type under the Homeland Security mission area. Some regulatory and tariff enforcement functions associated with the safe passage of passengers and goods over land involve sensitive information. These are treated under Law Enforcement.
most cases, unauthorized disclosure of air transportation information will have only a limited adverse effect on agency operations, assets, or individuals.

**Special Factors Affecting Confidentiality Impact Determination:** Unauthorized disclosure of accident investigation information that has not been adequately researched, coordinated, or edited can result in serious economic harm to individuals and to corporations. Loss in public confidence is a further potential consequence. Additionally, some information associated with air transportation functions is proprietary to corporations or subject to privacy laws. In such cases, the confidentiality impact resulting from unauthorized disclosure can be moderate. The sensitivity of air transportation information can be time or event-driven. For example, passenger lists are not releasable to the general public before a flight takes off, but are placed in the public domain in the event of a crash. In such cases, the confidentiality impact resulting from unauthorized disclosure can be moderate.

Also, much military air transport information is national security information and is outside the scope of this guideline.

**Recommended Confidentiality Impact Level:** The provisional confidentiality impact level recommended for air transportation information is low.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. Many air transportation functions do not process time-critical information.

**Special Factors Affecting Integrity Impact Determination:** Many air transportation functions are time-critical (e.g., air traffic control instructions, position reports, weather reports for the terminal area, maintenance trouble reports). Communications management (e.g., frequency management) information also needs to be included in air transportation integrity impact considerations. There may be circumstances under which erroneous frequency assignment information can result in a loss of communications with aircraft that are affected by hazardous conditions (e.g., loss of communications with an aircraft in a crowded air space.) Unauthorized modification or destruction of time-critical information necessary to these functions can result in large-scale property loss and in loss of human lives. The Wide Area Augmentation System (WAAS) supplements the availability and integrity of position information available from the DoD's Global Positioning Systems (GPS). Because of the potential system-wide impacts from a loss of integrity of this system, a high integrity impact level is recommended.

The following example illustrates the use of controls to address a high integrity impact level: Systems designed for command and control for air traffic control (the NAS systems) have been designed for robust operations. In the NAS, integrity and availability issues are closely linked. The loss of integrity in a system is monitored continuously, and the loss of integrity is treated as a loss of availability, and in general, loss of availability for the majority of systems does not cause derogation in safety. That is, if the operational parameters for an Instrument Landing System are detected to be out of established tolerances, the system is immediately removed from service - it is powered down and users are notified that the particular service is not available. In
In most cases, a loss of availability is preferred to continued availability with degraded integrity. The impacts of the loss of availability due to the loss of integrity include system-wide air traffic delays, diversion of traffic to alternate airports - and the economic losses related to those delays, diversions, etc. Severe impacts are not the norm because the loss of availability is assumed to be inevitable, and the systems have been designed to accommodate failures. With the controls implemented, the Recommended Integrity Impact Level is moderate.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for most air transportation information is low.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to air transportation information.

**Special Factors Affecting Availability Impact Determination:** Many air transportation functions are time-critical (e.g., air traffic control instructions, position reports, weather reports for the terminal area, maintenance trouble reports). Loss of availability of time-critical information necessary to these functions can result in large-scale property loss and in loss of human lives. Timing plays a large part in the availability impact of air transportation information. For example, the time criticality of weather information may be measured in minutes or hours in the case of pre-flight and mid-flight operations. However, on final landing approach, up to the second availability may be required (e.g., detection of microbursts in the terminal area). Air operations are not tolerant of information loss. The Wide Area Augmentation System (WAAS) supplements the availability of information available from the Department of Defense's Global Positioning Systems (GPS). Because of the potential system-wide impacts from a loss of availability of this system, it would be appropriately categorized as having a high availability impact.

The following example illustrates the use of controls to address a high integrity impact level: The systems designed for command and control for air traffic control (the NAS systems) have been designed for robust operations. However, in general, loss of availability for the majority of systems does not cause derogation in safety. The impacts of a loss of availability (or the loss of availability due to the loss of integrity) include local or system-wide air traffic delays, diversion of traffic to alternate airports, etc., and the economic losses related to those delays, diversions, etc. Severe impacts are not the norm because the loss of availability is inevitable, and the systems have been designed to accommodate failures. With the controls implemented, the Recommended Availability Impact Level is moderate.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for most air transportation information is low.

**D.11.4 Space Operations Information Type**

Space Operations involves the activities related to the safe launches/missions of passengers or goods into aerospace and includes commercial, scientific, and military operations. The recommended provisional security categorization for the space operations information type is as follows:
Security Category = \{(\text{confidentiality, Low}), (\text{integrity, High}), (\text{availability, High})\}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of space operations information on the ability of responsible agencies to conduct safe launches/missions of passengers or goods into space and includes commercial, scientific, and military operations. The protection of space operations from deliberate attack involves military operations (D.1), homeland security operations (D.2), and law enforcement operations (D.16). In most cases, unauthorized disclosure of space operations information will have only a limited adverse effect on agency operations, assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: Civilian space operations are intended to be conducted in the open. Administrative and business functions associated with space operations may involve proprietary, procurement-sensitive, and Privacy Act information. The Privacy Act Information provisional impact levels are documented in the Personal Identity and Authentication information type. In such cases, the confidentiality impact resulting from unauthorized disclosure can be moderate.

Some information regarding space operations (particularly military operations) is classified national security information and is outside the scope of this guideline.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for space operations information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. Space operations are typically characterized by critical operational timing and safety parameters, and low tolerance for error. Unauthorized modification or destruction of time-critical information necessary to these functions may result in significant property loss and loss of human lives. Communications management (e.g., frequency management) information also needs to be included in integrity impact determination for space operations. Erroneous frequency assignment information can result in loss of communications with spacecraft that can endanger mission operations and human safety.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for space operations information is high.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to space operations information. Space operations are typically characterized by critical operational timing and safety parameters and low tolerance for error. Loss of availability of time-critical information necessary to these functions can result in large-scale property loss and in loss of human lives. Also, air operations are not tolerant of information loss.
Recommended Availability Impact Level: The provisional availability impact level recommended for space operations information is *high*.

**D.12 Education**

Education refers to those activities that impart knowledge or understanding of a particular subject to the public. Education can take place at a formal school, college, university or other training program. This mission area includes all government programs that promote the education of the public, including both earned and unearned benefit programs.

**D.12.1 Elementary, Secondary, and Vocational Education Information Type**

Elementary, secondary, and vocational education refers to the provision of education in elementary subjects (reading and writing and arithmetic); education provided by a high school or college preparatory school; and vocational and technical education and training. The recommended provisional categorization of the elementary, secondary, and vocational education information type follows:

Security Category = \{(confidentiality, Low), (integrity, Low), (availability, Low)\}

**Confidentiality**

The confidentiality impact level is the effect of unauthorized disclosure of elementary, secondary, and vocational education information on the ability of responsible agencies to provide guidance and consultative services. The consequences of unauthorized disclosure of most elementary, secondary, and vocational education information would have a limited adverse effect on agency operations, agency assets, or individuals.

**Recommended Confidentiality Impact Level:** The provisional confidentiality impact level recommended for elementary, secondary, and vocational education information is *low*.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of elementary, secondary, and vocational education information would have a limited adverse effect on agency operations, agency assets, or individuals. Unauthorized modification or destruction of information affecting external communications (e.g., web pages, electronic mail) may adversely affect operations and/or public confidence in the agency, but the damage to the mission would usually be limited.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for elementary, secondary, and vocational education information is *low*.

**Availability**

The effects of disruption of access to most elementary, secondary, and vocational education information or information systems would have a limited adverse effect on agency operations, agency assets, or individuals.
Recommended Availability Impact Level: The provisional availability impact level recommended for elementary, secondary, and vocational education information is low.

D.12.2 Higher Education Information Type

Higher Education refers to education beyond the secondary level; specifically, education provided by a college or university. It includes external higher educational activities performed by the government (e.g., Military Academies, ROTC, and USDA Graduate School). The recommended provisional categorization of the higher education information type follows:

Security Category = {(confidentiality, Low), (integrity, Low), (availability, Low)}

Confidentiality
The confidentiality impact level is the effect of unauthorized disclosure of higher education information on the ability of responsible agencies to support education beyond the secondary level (e.g., Military Academies, ROTC, USDA Graduate School, and other public and private universities and colleges). The consequences of unauthorized disclosure of most higher education information would have a limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: Exceptions are based on the mission supported by the external training and education activity. In such cases, the impact on the system is defined by the information associated with the supported mission. This can result in assignment of a moderate or high impact level to such information.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for higher education information is low.

Integrity
The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of higher education information would have, at most, a limited adverse effect on agency operations, agency assets, or individuals. Unauthorized modification or destruction of information affecting external communications (e.g., web pages, electronic mail) may adversely affect operations and/or public confidence in the agency, but the damage to the mission would usually be limited.

Special Factors Affecting Integrity Impact Determination: Exceptions that might result in more serious consequences are based on the mission supported by the higher education activity (e.g., undetected modification of weapons training information at a service academy where the modification could result in harm to the student or other individuals). In such cases, the impact is determined by the information associated with the supported mission. This can result in assignment of a moderate or high impact level to such information.
Recommended Integrity Impact Level: The provisional integrity impact level recommended for higher education information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to higher education information. The effects of disruption of access to most higher education information or information systems would have a limited adverse effect on agency operations, agency assets, or individuals.

Recommended Availability Impact Level: The provisional availability impact level recommended for higher education information is low.

D.12.3 Cultural and Historic Preservation Information Type

Cultural and Historic Preservation involves all activities performed by the Federal Government to collect and preserve information and artifacts important to the culture and history of the United States and its citizenry and the education of U.S. citizens and the world. The recommended provisional categorization of the cultural and historic preservation information type follows:

Security Category = \{(confidentiality, Low), (integrity, Low), (availability, Low)\}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of cultural and historic preservation information on the ability of responsible agencies to collect and preserve information and artifacts important to the culture and history of the United States and its citizenry and the education of U.S. citizens and the world. The consequences of unauthorized disclosure of most cultural and historic preservation information would have a limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: In cases where disclosure of information might be useful to an individual or organization intent on destruction of historical materials, the potential consequences to key national assets could be serious to severe. In such cases, the confidentiality impact could be moderate to high.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for cultural and historic preservation information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of cultural and historic preservation information would have, at most, a limited adverse effect on agency operations, agency assets, or individuals. Unauthorized modification or destruction of information affecting external communications (e.g., web pages, electronic mail) may adversely affect operations and/or public confidence in the agency, but the damage to the mission would usually be limited.
Special Factors Affecting Integrity Impact Determination: In cases where undetected modification of information might be useful to an individual or organization intent on destruction of historical materials, the potential consequences to key national assets could be serious to severe. Consequently, the integrity impact could be *moderate to high*.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for cultural and historic preservation information is *low*.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to cultural and historic preservation information. The effects of disruption of access to most cultural and historic preservation information or information systems would have a limited adverse effect on agency operations, agency assets, or individuals.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for cultural and historic preservation information is *low*.

**D.12.4 Cultural and Historic Exhibition Information Type**

Cultural and Historic Exhibition includes all activities undertaken by the U.S. government to promote education through the exhibition of cultural, historical, and other information, archives, art, etc. The recommended provisional categorization of the cultural and historic exhibition information type follows:

\[
\text{Security Category} = \{(\text{confidentiality, Low}), (\text{integrity, Low}), (\text{availability, Low})\}
\]

**Confidentiality**

The confidentiality impact level is the effect of unauthorized disclosure of cultural and historic exhibition information on the ability of responsible agencies to promote education through the exhibition of cultural, historical, and other information, archives, art, etc. The consequences of unauthorized disclosure of most cultural and historic exhibition information would have a limited adverse effect on agency operations, agency assets, or individuals.

**Special Factors Affecting Confidentiality Impact Determination:** In cases where disclosure of information might be useful to an individual or organization intent on destruction of historical materials or archives, the potential consequences to key national assets could be serious to severe. Consequently, the confidentiality impact could be *moderate to high*.

**Recommended Confidentiality Impact Level:** The provisional confidentiality impact level recommended for cultural and historic exhibition information is *low*.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The
consequences of unauthorized modification or destruction of cultural and historic exhibition information would have, at most, a limited adverse effect on agency operations, agency assets, or individuals. Unauthorized modification or destruction of information affecting external communications (e.g., web pages, electronic mail) may adversely affect operations and/or public confidence in the agency, but the damage to the mission would usually be limited.

Special Factors Affecting Integrity Impact Determination: In cases where undetected modification of information might be useful to an individual or organization intent on the destruction of historical materials or archives, the potential consequences to key national assets could be serious to severe. Consequently, the integrity impact could be moderate to high.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for cultural and historic exhibition information is low.

Availability
The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to cultural and historic exhibition information. The effects of disruption of access to most cultural and historic exhibition information or information systems would have a limited adverse effect on agency operations, agency assets, or individuals.

Recommended Availability Impact Level: The provisional availability impact level recommended for cultural and historic exhibition information is low.

D.13 Workforce Management

Workforce Management includes those activities that promote the welfare and effectiveness of the Nation’s workforce by improving their proficiency, working conditions, advancing opportunities for profitable employment, and strengthening free collective bargaining.

D.13.1 Training and Employment Information Type

Training and Employment includes programs of job or skill training, employment services and placement, and programs to promote the hiring of marginal, unemployed, or low-income workers. Additionally, training information can include special training for personnel involved in Federal government operations (e.g., astronaut training). The recommended provisional categorization of the training and employment information type follows:

Security Category = {(confidentiality, Low), (integrity, Low), (availability, Low)}

Confidentiality
The confidentiality impact level is the effect of unauthorized disclosure of training and employment information on the ability of responsible agencies to provide job or skill training, employment services and placement, and programs to promote the hiring of marginal, unemployed, or low-income workers. The consequences of unauthorized disclosure of most
training and employment information would have a limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: Exceptions that might have a potential for more serious consequences are based on privacy information processed in training and employment systems (e.g., information required by the Privacy Act of 1974 or other statutes and executive orders to receive special handling to protect the privacy of individuals). The Privacy Act Information provisional impact levels are documented in the Personal Identity and Authentication information type. This can result in assignment of a moderate impact level to such information.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for training and employment information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of training and employment information would have, at most, a limited adverse effect on agency operations, agency assets, or individuals. Unauthorized modification or destruction of information affecting external communications (e.g., web pages, electronic mail) may adversely affect operations and/or public confidence in the agency, but the damage to the mission would usually be limited.

Special Factors Affecting Confidentiality Impact Determination: In the case of training aimed at achieving or improving proficiency in specialty occupations (e.g., astronaut training), the consequences of integrity compromises can threaten missions, or even human safety. In such cases, the integrity impact level can range from moderate to high.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for training and employment information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to training and employment information. The effects of disruption of access to most training and employment information or information systems would have a limited adverse effect on agency operations, agency assets, or individuals.

Recommended Availability Impact Level: The provisional availability impact level recommended for training and employment information is low.

D.13.2 Labor Rights Management Information Type

Labor Rights Management refers to those activities undertaken to ensure that employees and employers are aware of and comply with all statutes and regulations concerning labor rights, including those pertaining to wages, benefits, safety and health, whistleblower, and
nondiscrimination policies. The recommended provisional categorization of the labor rights management information type follows:

Security Category = {\{\text{confidentiality, Low}, \text{integrity, Low}, \text{availability, Low}\}}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of labor rights management information on the ability of responsible agencies to ensure that employees and employers are aware of and comply with all statutes and regulations concerning labor rights, including those pertaining to wages, benefits, safety and health, whistleblower, and nondiscrimination policies. In some cases, premature release of draft labor rights bulletins might adversely affect the effectiveness of agency operations. In general, the consequences of unauthorized disclosure of most labor rights management information would have, a limited adverse effect on agency operations, agency assets, or individuals.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for labor rights management information is \textit{low}.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. Unauthorized modification or destruction of information affecting external communications (e.g., web pages, electronic mail) may adversely affect operations and/or public confidence in the agency, but the damage to the mission would usually be limited. The consequences of unauthorized modification or destruction of labor rights management information would have, at most, a limited adverse effect on agency operations, agency assets, or individuals.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for labor rights management information is \textit{low}.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to labor rights management information. The effects of disruption of access to most labor rights management information or information systems would have a limited adverse effect on agency operations, agency assets, or individuals.

Recommended Availability Impact Level: The provisional availability impact level recommended for labor rights management information is \textit{low}.

D.13.3 Worker Safety Information Type

Worker Safety refers to those activities undertaken to save lives, prevent injuries, and protect the health of America's workers. The recommended provisional categorization of the worker safety information type follows:
Security Category = \{ \text{(confidentiality, Low), (integrity, Low), (availability, Low)} \} \\

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of worker safety information on the ability of responsible agencies to protect the health and safety of America’s workers. In some cases, premature release of draft worker safety bulletins might adversely affect the effectiveness of agency operations. In general, the consequences of unauthorized disclosure of worker safety information would have a limited adverse effect on agency operations, agency assets, or individuals.

**Recommended Confidentiality Impact Level:** The provisional confidentiality impact level recommended for worker safety information is *low*.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of worker safety information would have, at most, a limited adverse effect on agency operations, agency assets, or individuals. Unauthorized modification or destruction of information affecting external communications (e.g., web pages, electronic mail) may adversely affect operations and/or public confidence in the agency, but the damage to the mission would usually be limited.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for worker safety information is *low*.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to worker safety information. The effects of disruption of access to most worker safety information or information systems would have a limited adverse effect on agency operations, agency assets, or individuals.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for worker safety information is *low*.

**D.14 Public Health**

Public Health involves Federal programs and activities charged with ensuring and providing for the health and well being of the public. This includes the direct provision of health care services and immunizations as well as the monitoring and tracking of public health indicators for the detection of trends and identification of widespread illnesses/diseases. It also includes both earned and unearned health care benefit programs. Note that impacts to some public health information and information systems may affect the security of critical elements of the public health infrastructure.
D.14.1 Illness Prevention Information Type

Illness prevention supports activities associated with the prevention and mitigation of illness and diseases. Impacts to some information and information systems associated with illness prevention (e.g., the Centers for Disease Control) may affect the security the public health infrastructure. In such cases, integrity and availability impacts can be **high**. However, in general, the following provisional security categorization is recommended for the illness prevention information type:

Security Category = \{(confidentiality, Low), (integrity, moderate), (availability, Low)\}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of illness prevention information on the ability of responsible agencies to prevent and mitigate illness and diseases. Most consequences of unauthorized disclosure of illness prevention information are unlikely to have a serious adverse effect on agency operations.

**Recommended Confidentiality Impact Level:** The provisional confidentiality impact level recommended for illness prevention information is **low**.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of illness prevention information can be serious if the public is exposed to incorrect medical advice, mislabeled, tainted, or otherwise harmful drugs. Unauthorized modification or destruction of information affecting external communications that contain illness prevention information (e.g., web pages, electronic mail) may adversely affect operations and public confidence in the agency and also the agency mission.

**Special Factors Affecting Integrity Impact Determination:** In some cases, undetected and unauthorized modification or destruction of illness prevention information can result in loss of human life. This can result in assignment of a **high** impact level to such information.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for illness prevention information is **moderate**.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to illness prevention information. Except for cases of emergency bulletins necessary to correct urgent threats to public health, illness prevention processes are usually tolerant of reasonable delays.

**Special Factors Affecting Availability Impact Determination:** Where emergency communications necessary to deal with life-threatening situations are delayed for excessive periods, the availability impact level may be **high**.
Recommended Availability Impact Level: The provisional integrity impact level recommended for illness prevention information is **low**.

D.14.2 Immunization Management Information Type

Immunization management includes all activities associated with the preparation, storage, and use of inoculations and vaccinations. The following security categorization is recommended for the immunization management information type:

Security Category = {(confidentiality, Low), (integrity, moderate), (availability, Low)}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of immunization management information on the ability of responsible agencies to prepare, store, and use inoculations and vaccinations. Most consequences of unauthorized disclosure of immunization management information are unlikely to have a serious adverse effect on agency operations.

Special Factors Affecting Confidentiality Impact Determination: Some information associated with immunization management involves confidential patient information subject to the Privacy Act and to HIPAA. The Privacy Act Information provisional impact levels are documented in the Personal Identity and Authentication information type. Other information (e.g., information proprietary to vaccine developers and vendors) must be protected under rules governing proprietary information and procurement management. This can result in assignment of a **moderate** impact level to such information.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for most immunization management information is **low**.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of immunization management information can be serious if the public is exposed to incorrect or tainted medication or dosages. Unauthorized modification or destruction of information affecting external communications that contain immunization management information (e.g., web pages, electronic mail) may adversely affect operations and public confidence in the agency and also the agency mission.

Special Factors Affecting Integrity Impact Determination: The consequences of unauthorized modification of age, storage history, or recommended dosage of vaccines data may be very serious. In some cases, unauthorized modification or destruction of immunization management information can result in loss of human life. This can result in assignment of a **high** impact level to such information.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for immunization management information is **moderate**.
Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to immunization management information. Except for cases of emergency bulletins necessary to correct urgent threats to public health, immunization management processes are usually tolerant of reasonable delays.

Special Factors Affecting Availability Impact Determination: Delays in the communication of specific situations may be life threatening. This can result in assignment of a **high** impact level to such information.

Recommended Availability Impact Level: The provisional availability impact level recommended for immunization management information is **low**.

D.14.3 Public Health Monitoring Information Type

Public health monitoring involves activities associated with monitoring the public health and tracking the spread of disease. The following provisional security categorization is recommended for the public health monitoring information type:

Security Category = \{(confidentiality, Low), (integrity, moderate), (availability, Low)\}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of public health monitoring information on the ability of responsible agencies to monitor public health and track the spread of disease. Most consequences of unauthorized disclosure of public health monitoring information are unlikely to have a serious adverse effect on agency operations.

Special Factors Affecting Confidentiality Impact Determination: Much information associated with public health monitoring involves confidential patient information subject to the Privacy Act and to HIPAA. The Privacy Act Information provisional impact levels are documented in the Personal Identity and Authentication information type. In some cases, unauthorized disclosure of this information such as privacy-protected medical records can have serious consequences for agency operations. In such cases, the confidentiality impact level may be **moderate**.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for most public health monitoring information is **low**.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. Unauthorized modification or destruction of information affecting external communications that contain public health monitoring information (e.g., web pages, electronic mail) may adversely affect operations and public confidence in the agency and also the agency mission.

Special Factors Affecting Integrity Impact Determination: Unauthorized modification or destruction of public health monitoring information can result in delayed reaction to serious health threats,
inappropriate allocation/deployment of health care services, and/or loss of human life. This can result in assignment of a high impact level to such information.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for public health monitoring information is **moderate**.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to public health monitoring information. Typically, public health monitoring processes are tolerant of reasonable delays.

**Special Factors Affecting Availability Impact Determination:** Some public health monitoring information is time-critical and is dependent on the severity of the health threat(s) and the rapidity with which the threat is spreading/growing. Delays in the communication of specific situations may be life threatening. This can result in assignment of a moderate to high impact level to such information.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for public health monitoring information is **low**.

**D.14.4 Health Care Services Information Type**

Health Care Services involves programs and activities that directly provide health and medical care to the American public, including both earned and unearned health care benefit programs. The following security categorization is recommended for the health care services information type:

**Security Category = {(confidentiality, Low), (integrity, High), (availability, Low)}**

**Confidentiality**

The confidentiality impact level is the effect of unauthorized disclosure of health services care information on the ability of responsible agencies to directly provide health and medical care to the American public, including both earned and unearned health care benefit programs. Most consequences of unauthorized disclosure of health care information are unlikely to have a serious adverse effect on agency operations.

**Special Factors Affecting Confidentiality Impact Determination:** Some information associated with health care involves confidential patient information subject to the Privacy Act and to HIPAA. The Privacy Act Information provisional impact levels are documented in the Personal Identity and Authentication information type. Other information (e.g., information proprietary to hospitals, pharmaceutical companies, insurers, and care givers) must be protected under rules governing proprietary information and procurement management. In some cases, unauthorized disclosure of this information such as privacy-protected medical records can have serious consequences for agency operations. In such cases, the confidentiality impact level may be moderate.
Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for most health care services information is *low*.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information.

Many activities associated with health care services are not time critical and the adverse effects of unauthorized modification or destruction of health care information on agency mission functions and/or public confidence in the agency will be limited. However, the consequences of unauthorized modification or destruction of health care information may result in incorrect, inappropriate, or excessively delayed treatment of patients. In these cases, serious adverse effects can include legal actions and danger to human life. Unauthorized modification or destruction of information affecting external communications that contain health care information (e.g., web pages, electronic mail) may adversely affect operations and public confidence in the agency and the agency mission.

**Recommended Integrity Impact Level:** Because of the potential for the loss of human life, the provisional integrity impact level recommended for health care services information is *high*.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to health care information. Except for cases of emergency actions necessary to correct urgent threats to patient health, health care processes are usually tolerant of reasonable delays.

**Special Factors Affecting Availability Impact Determination:** Some health care information is time-critical and is dependent on the severity of the health threat(s) and the rapidity with which the threat is spreading/growing. Delays in the communication of specific situations may be life threatening. This can result in assignment of a *moderate* or *high* impact level to such information.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for health care services information is *low*.

**D.14.5 Consumer Health and Safety Information Type**

Consumer Health and Safety supports activities associated with the inspection, education, and evaluation of consumer products to assess the potential risks and dangers they may present to the consumer (both humans and animals), (i.e. food, cosmetics, pharmaceuticals, and other consumer products). Impacts to some information and information systems associated with quality assurance of food and pharmaceuticals may affect the security of critical agriculture and food and public health infrastructures. In such cases, integrity and availability impacts can be *high*. However, in general, the following provisional security categorization is recommended for the consumer health and safety information type:
Security Category = \{(\text{confidentiality, Low}), (\text{integrity, Moderate}), (\text{availability, Low})\}\}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of consumer health and safety information on the ability of responsible agencies to perform inspection, education and evaluation functions involving food, pharmaceuticals and other consumer products. Most consequences of unauthorized disclosure of consumer health and safety information are unlikely to have a serious adverse effect on agency operations.

Special Factors Affecting Confidentiality Impact Determination: The most serious adverse effects are likely to involve exposure of information that is proprietary to an organization being evaluated by the agency. Unauthorized disclosure of some information can have serious economic impact on both individual companies and the broader marketplace. The consequences of such unauthorized disclosures may have an adverse effect on public confidence in the agency. This can result in assignment of a \textit{moderate} impact level to such information.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for consumer health and safety information is \textit{low}.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of consumer health and safety information can be serious if the public is exposed to mislabeled, tainted, or otherwise harmful food, drugs, or consumer products.

Special Factors Affecting Integrity Impact Determination: Unauthorized modification or destruction of information affecting external communications (e.g., web pages, electronic mail) may adversely affect operations and public confidence in the agency and the agency mission. In some cases, unauthorized modification or destruction of information can result in loss of human life. This can result in assignment of a \textit{high} impact level to such information.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for consumer health and safety information remains at least \textit{moderate}.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to health and safety information. Consumer products quality assurance processes are usually tolerant of reasonable delays.

Special Factors Affecting Availability Impact Determination: Delays in the communication of product deficiencies may be life threatening. This can result in assignment of a \textit{high} impact level to such information.

Recommended Availability Impact Level: The provisional availability impact level recommended for consumer health and safety information is \textit{low}. 

186
D.15 Income Security

Income Security includes activities designed to ensure that members of the public are provided with the necessary means – both financial and otherwise – to sustain an adequate level of existence. This includes all benefit programs, both earned and unearned, that promote these goals for members of the public.

D.15.1 General Retirement and Disability Information Type

General Retirement and Disability involves the development and management of retirement benefits, pensions, and income security for those who are retired or disabled. Related information types affecting qualification and disbursement of benefits are discussed in Appendix C’s Sections C.2.8.8, C.2.8.9, C.2.8.10, C.2.8.11, and C.3.2.5. The recommended provisional categorization of the general retirement and disability information type follows:

Security Category = {(confidentiality, Moderate), (integrity, Moderate), (availability, Moderate)}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of general retirement and disability information on the ability of responsible agencies to develop and manage retirement benefits, pensions, and income security for those who are retired or disabled. The consequences of limited unauthorized disclosure of retirement and disability information would have a limited adverse effect on agency operations, agency assets, or individuals.

The disclosure of privacy information (e.g., information required by the Privacy Act of 1974 or other statutes and executive orders to receive special handling to protect the privacy of individuals) may have serious consequences. The Privacy Act Information provisional impact levels are documented in the Personal Identity and Authentication information type. Unauthorized disclosure of large amounts of general retirement and disability information may result in significant damage to an agency’s image or operation.

Recommended Confidentiality Impact Level: The confidentiality impact recommended for general retirement and disability information is moderate.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. Unauthorized modification or destruction of information affecting external communications (e.g., web pages, electronic mail) may adversely affect operations and/or public confidence in the agency, but the damage to the mission would usually be limited.

Generally, the consequences of unauthorized modification or destruction of general retirement and disability information would have a limited adverse effect on agency operations, agency assets, or individuals. However, where provision of retirement and/or disability benefits is a primary agency service delivery mission, the consequences can be more severe.
Special Factors Affecting Integrity Impact Determination: Integrity compromises may result in reduction of benefits—and in extreme cases can be life threatening. This can result in assignment of a **high** impact level to such information.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for general retirement and disability information is **moderate**.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to general retirement and disability information. The effects of disruption of access to general retirement and disability information or information systems would have, in many cases, a limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Availability Impact Determination: Where provision of retirement and/or disability benefits is a primary agency service delivery mission, the consequences can be more severe. Availability compromises may result in reduction of benefits—and in extreme cases can be life threatening. This can result in assignment of a **high** impact level to such information.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for general retirement and disability information is **moderate**.

**D.15.2 Unemployment Compensation Information Type**

Unemployment Compensation provides income security to those who are no longer employed, while they seek new employment. The recommended provisional categorization of the unemployment compensation information type follows:

**Security Category** = \{\text{confidentiality, Low}, \text{integrity, Low}, \text{availability, Low}\}

**Confidentiality**

The confidentiality impact level is the effect of unauthorized disclosure of unemployment compensation information on the ability of responsible agencies to provide income security to those who are no longer employed, while they seek new employment. The consequences of unauthorized disclosure of most unemployment compensation information would have a limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: Exceptions that might have a potential for more serious consequences are based on privacy information (e.g., information required by the Privacy Act of 1974 or other statutes and executive orders to receive special handling to protect the privacy of individuals). The Privacy Act Information provisional impact levels are documented in the Personal Identity and Authentication information type. This can result in assignment of a **moderate** impact level to such information.

**Recommended Confidentiality Impact Level:** The provisional confidentiality impact level recommended for unemployment compensation information is **low**.
Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of unemployment compensation information would have, at most, a limited adverse effect on agency operations, agency assets, or individuals. Unauthorized modification or destruction of information affecting external communications (e.g., web pages, electronic mail) may adversely affect operations and/or public confidence in the agency, but the damage to the mission would usually be limited.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for unemployment compensation information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to unemployment compensation information. The effects of disruption of access to unemployment compensation information or information systems would have, at most, a limited adverse effect on agency operations, agency assets, or individuals.

Recommended Availability Impact Level: The provisional availability impact level recommended for unemployment compensation information is low.

D.15.3 Housing Assistance Information Type

Housing Assistance involves the development and management programs that provide housing to those who are unable to provide housing for themselves including the rental of single-family or multifamily properties, and the management and operation of federally supported housing properties. The recommended provisional categorization of the housing assistance information type follows:

Security Category = {(confidentiality, Low), (integrity, Low), (availability, Low)}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of housing assistance information on the ability of responsible agencies to develop and manage programs that provide housing to those who are unable to provide housing for themselves including the rental of single-family or multifamily properties, and the management and operation of federally supported housing properties. The consequences of unauthorized disclosure of most housing assistance information would have a limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: Exceptions that might have a potential for more serious consequences are based on privacy information (e.g., information required by the Privacy Act of 1974 or other statutes and executive orders to receive special handling to protect the privacy of individuals). The Privacy Act Information provisional impact
levels are documented in the Personal Identity and Authentication information type. This can result in assignment of a *moderate* impact level to such information.

**Recommended Confidentiality Impact Level:** The provisional confidentiality impact level recommended for housing assistance information is *low*.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of housing assistance information would have, at most, a limited adverse effect on agency operations, agency assets, or individuals. Unauthorized modification or destruction of information affecting external communications (e.g., web pages, electronic mail) may adversely affect operations and/or public confidence in the agency, but the damage to the mission would usually be limited.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for housing assistance information is *low*.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to housing assistance information. The effects of disruption of access to most housing assistance information or information systems would have a limited adverse effect on agency operations, agency assets, or individuals.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for housing assistance information is *low*.

### D.15.4 Food and Nutrition Assistance Information Type

Food and Nutrition Assistance involves the development and management of programs that provide food and nutrition assistance to those members of the public who are unable to provide for these needs themselves. The recommended provisional categorization of the food and nutrition assistance information type follows:

**Security Category = {(confidentiality, Low), (integrity, Low), (availability, Low)}**

**Confidentiality**

The confidentiality impact level is the effect of unauthorized disclosure of food and nutrition assistance information on the ability of responsible agencies to develop and manage of programs that provide food and nutrition assistance to those members of the public who are unable to provide for these needs themselves. The consequences of unauthorized disclosure of most food and nutrition assistance information would have a limited adverse effect on agency operations, agency assets, or individuals.

**Special Factors Affecting Confidentiality Impact Determination:** Exceptions that might have a potential for more serious consequences are based on privacy information (e.g., information
required by the Privacy Act of 1974 or other statutes and executive orders to receive special handling to protect the privacy of individuals). The Privacy Act Information provisional impact levels are documented in the Personal Identity and Authentication information type. This can result in assignment of a **moderate** impact level to such information.

**Recommended Confidentiality Impact Level**: The provisional confidentiality impact recommended for food and nutrition assistance information is **low**.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of food and nutrition assistance information would have, at most, a limited adverse effect on agency operations, agency assets, or individuals. Unauthorized modification or destruction of information affecting external communications (e.g., web pages, electronic mail) may adversely affect operations and/or public confidence in the agency, but the damage to the mission would usually be limited.

**Recommended Integrity Impact Level**: The provisional integrity impact level recommended for food and nutrition assistance information is **low**.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to food and nutrition assistance information. The effects of disruption of access to most food and nutrition assistance information or information systems would have a limited adverse effect on agency operations, agency assets, or individuals.

**Recommended Availability Impact Level**: The provisional availability impact level recommended for food and nutrition assistance information is **low**.

**D.15.5 Survivor Compensation Information Type**

Survivor Compensation provides compensation to the survivors of individuals currently receiving or eligible to receive benefits from the Federal Government. This includes survivors such as spouses or children of veterans or wage earners eligible for social security payments. The recommended provisional categorization of the survivor compensation information type follows:

Security Category = {{confidentiality, Low}, (integrity, Low), (availability, Low)}

**Confidentiality**

The confidentiality impact level is the effect of unauthorized disclosure of survivor compensation information on the ability of responsible agencies to provide compensation to the survivors of individuals currently receiving or eligible to receive benefits from the Federal Government. The consequences of unauthorized disclosure of most survivor compensation
information would have a limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: Exceptions that might have a potential for more serious consequences are based on privacy information (e.g., information required by the Privacy Act of 1974 or other statutes and executive orders to receive special handling to protect the privacy of individuals). The Privacy Act Information provisional impact levels are documented in the Personal Identity and Authentication information type. This can result in assignment of a moderate impact level to such information.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for survivor compensation information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of survivor compensation information would have, at most, a limited adverse effect on agency operations, agency assets, or individuals. Unauthorized modification or destruction of information affecting external communications (e.g., web pages, electronic mail) may adversely affect operations and/or public confidence in the agency, but the damage to the mission would usually be limited.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for survivor compensation information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to survivor compensation information. The effects of disruption of access to most survivor compensation information or information systems would have a limited adverse effect on agency operations, agency assets, or individuals.

Recommended Availability Impact Level: The provisional availability impact level recommended for survivor compensation information is low.

D.16 Law Enforcement

Law enforcement involves the protection of people, places, and things from criminal activity resulting from non-compliance with U.S. laws. This includes patrols, undercover operations, response to emergency calls, as well as arrests, raids, and seizures of property. Impacts to some information and information systems associated with law enforcement missions may affect the security of a broad range of critical infrastructures and key national assets. Some information associated with Federal law enforcement is categorized as national security information. Rules governing establishment of impact levels and controls associated with national security information are governed by a separate set of policies and are outside the scope of this guideline. Confidentiality and integrity impacts are often determined by statutory and regulatory requirements that vary by violation.
D.16.1 Criminal Apprehension Information Type

Criminal apprehension supports activities associated with the tracking and capture of groups or individuals believed to be responsible for committing Federal crimes. The recommended provisional categorization of the criminal apprehension information type follows:

Security Category = \{(confidentiality, Low), (integrity, Low), (availability, Moderate)\}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of criminal apprehension information on the ability of responsible agencies to track and capture groups or individuals believed to be responsible for committing Federal crimes, on public safety, and on the safety of law enforcement officers. The consequences of unauthorized disclosure of criminal apprehension information depend 1) on the seriousness of the crime involved, 2) on the capability and predisposition of the criminal to injure or kill civilians or law enforcement officials, 3) timing (e.g., the ability of the criminal to access the information and use it to facilitate a crime or evade capture), and 4) statutory and regulatory requirements which vary by violation.

Special Factors Affecting Confidentiality Impact Determination: In cases where 1) the crimes are not violent and do not involve large property losses, and 2) there is no history of violence on the part of the criminal, the confidentiality impact may be low or moderate. For many crimes that are the responsibility of Federal law enforcement agencies, the consequences associated with unauthorized disclosure of criminal apprehension information must often be assumed to pose a threat to human life or result in a loss of major assets. In such cases, confidentiality impact level is high.

Recommended Confidentiality Impact Level: For most Federal law enforcement systems that support criminal apprehension activities the harm that results from unauthorized disclosure will be limited. Therefore, the provisional confidentiality impact level recommended for criminal apprehension information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of criminal apprehension information may depend on the urgency with which the information is needed and on the success of subsequent prosecution of the apprehended criminal(s). Unauthorized modification or destruction of information affecting external communications (e.g., web pages, electronic mail) may adversely affect operations and/or public confidence in the agency, but the damage to the mission would usually be limited.

Special Factors Affecting Integrity Impact Determination: Unauthorized modification or destruction of criminal apprehension information may have an adverse effect on the subsequent prosecution of the apprehended criminal. Consequently, a serious adverse effect on agency operations can result. This can place the agency at a significant disadvantage. In such cases, the integrity
impact level recommended for criminal apprehension information is at least **moderate**. When the criminal apprehension information is time-critical, the unauthorized modification or destruction of this information may have a severe or catastrophic effect on public confidence in the agency, pose a significant threat to major assets, and/or pose a threat to human life. This is applicable for many crimes that are the responsibility of Federal law enforcement agencies. For this criminal apprehension information, the Recommended Integrity Impact Level is **high**.

**Recommended Integrity Impact Level:** For most Federal law enforcement systems that support criminal apprehension activities the harm that results from unauthorized modification or destruction will be limited. Therefore, the provisional integrity impact level recommended for criminal apprehension information is **low**.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to criminal apprehension information. Missions supported by criminal apprehension information are not typically tolerant of delay. While there are many cases in which elements of criminal apprehension information are not urgent, there are many in which relatively short periods of unavailability can pose a threat to human life and/or result in a loss of major assets.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for most criminal apprehension information is **moderate**.

### D.16.2 Criminal Investigation and Surveillance Information Type

Criminal investigation and surveillance includes the collection of evidence required to determine responsibility for a crime and the monitoring and questioning of affected parties. The recommended provisional categorization of the criminal investigation and surveillance information type follows:

\[
\text{Security Category} = \{(\text{confidentiality, Moderate), (integrity, Moderate), (availability, Moderate)}\}
\]

**Confidentiality**

The confidentiality impact level is the effect of unauthorized disclosure of criminal investigation and surveillance information on the ability of responsible agencies to collect evidence required to determine responsibility for a crime, to monitor and question affected parties, and to protect the safety of witnesses and law enforcement officers. The consequences of unauthorized disclosure of criminal investigation and surveillance information depend 1) on the seriousness of the crime involved, 2) timing (e.g., the ability of the criminal\(^{30}\) to access the information and use it to facilitate a crime, to evade detection or surveillance, or eliminate probable cause for searches and warrants), and 3) on the capability and predisposition of the criminal to injure witnesses or law enforcement officials.

\(^{30}\) In this case, the term “criminal entity” includes both the criminal and legal representative(s) of the criminal (i.e., council).
Special Factors Affecting Confidentiality Impact Determination: In cases where 1) the crimes are not violent and do not involve large property losses, and 2) there is no history of violence on the part of the criminal, the confidentiality impact may be low or moderate. Given the nature of many of the crimes that are the responsibility of Federal law enforcement agencies, the consequences associated with unauthorized disclosure of criminal investigation and surveillance information must often be assumed to pose a threat to human life or result in a loss of major assets. Information that reveals the identity and/or location of informants may be of particular concern. In such cases, the confidentiality impact level is high.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for criminal investigation and surveillance information is moderate.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of criminal investigation and surveillance information depends on the urgency with which the information is needed and on the success of subsequent prosecution of the apprehended criminal(s). Unauthorized modification or destruction of information affecting external communications (e.g., web pages, electronic mail) may adversely affect operations or public confidence in the agency, but the damage to the mission would usually be limited.

Where unauthorized modification or destruction of criminal investigation and surveillance information can have an adverse effect on the granting or execution of a search or wiretap warrant or on the success of subsequent prosecution of the apprehended criminal a serious adverse effect on agency operations can result. This can place the agency at a significant disadvantage.

Special Factors Affecting Integrity Impact Determination: In some cases, major investigations can be jeopardized when the time-critical criminal investigation and surveillance information is modified or destroyed. Where the criminal case under investigation involves major property losses, large-scale financial frauds that have serious implications for financial markets, poses a threat to key national assets or human life, the Recommended Integrity Impact Level is high. In international matters, such as trade enforcement, tariff agreements, etc., or where foreign nationals might be involved, the integrity impact level for criminal investigation and surveillance information will be high. Any compromise of such information could result in catastrophic adverse effects on future operations, individual and agency reputations, and on human life.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for criminal investigation and surveillance information is moderate.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to criminal investigation and surveillance information. Missions supported by criminal investigation and surveillance information are not always tolerant of delay.
Special Factors Affecting Availability Impact Determination: There are some cases in which relatively short periods of unavailability of criminal investigation and surveillance information may result in lost surveillance opportunities or opportunities to make an arrest. Where the crimes involved pose a threat to human life and/or result in a loss of major assets, the availability impact level recommended for criminal investigation and surveillance information is high.

Recommended Availability Impact Level: The provisional availability impact level recommended for criminal investigation and surveillance information is moderate.

D.16.3 Citizen Protection Information Type

Citizen protection involves all activities performed to protect the general population of the United States from criminal activity. The following security categorization is recommended for the citizen protection information type:

Security Category = \{(confidentiality, Moderate), (integrity, Moderate, (availability, Moderate)}\)

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of citizen protection information on the ability of responsible agencies to protect the general population of the United States from criminal activity. In some cases, the criminal activity is terrorist activity intended to cause mass casualties. While the results of unauthorized disclosure of most citizen protection information are unlikely to have a serious adverse effect on agency operations, the exceptions can have catastrophic consequences.

Special Factors Affecting Confidentiality Impact Determination: The consequences of unauthorized disclosure of citizen protection information could be severe. If detailed intelligence information regarding a planned terrorist act was disclosed, the terrorists might succeed in countering the protection measures and carry out a devastating attack. The confidentiality impacts associated with information concerning defensive dispositions would be high. While the adverse effects of unauthorized disclosure of some citizen protection information on law enforcement operations, assets, and individuals are limited; the stakes are usually higher. Federal citizen protection activities often seek to protect the public against life-threatening situations or against loss of major assets.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for most citizen protection information is moderate.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of citizen protection information may pose a potential threat to public safety particularly if the protective measures are compromised.
Special Factors Affecting Integrity Impact Determination: In some cases (e.g., terrorist threats), unauthorized modification or destruction of citizen protection information can result in loss of human life - a high-impact potential.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for citizen protection information is moderate.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to citizen protection information. Many citizen protection missions are usually tolerant of reasonable delays. Most criminal activity against citizen protection information is not life threatening but can result in serious property loss.

Special Factors Affecting Availability Impact Determination: Emergency situations or elevated terrorist threat conditions are not tolerant of delays. Where systems support time-sensitive operations for life-threatening situations, the availability impact level for citizen protection information is high.

Recommended Availability Impact Level: In the case of most systems that support delivery of citizen protection services, the provisional availability impact level recommended for citizen protection information is moderate.

D.16.4 Leadership Protection Information Type

Leadership protection involves all activities performed to protect the health and well being of the president, vice-president, their families, and other high-level government officials. Some leadership protection information may be classified. All classified information is treated under separate rules established for national security information and is outside the scope of this guideline. The recommended provisional categorization for unclassified leadership protection information follows:

Security Category = { (confidentiality, Moderate), (integrity, Low), (availability, Low) }

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of leadership protection information on the abilities of responsible agencies to protect the health and well being of the president, vice-president, their families, and other high-level government officials. The consequences of unauthorized disclosure of most leadership protection information are not directly life-threatening but can have serious consequences.

Special Factors Affecting Confidentiality Impact Determination: For the unauthorized disclosure of information that can facilitate efforts to assassinate Federal leadership, the consequences not only pose a threat to human life, but can also have a disruptive effect on the continuity of Federal government operations. In such cases, the confidentiality impact level is high.
Recommended Confidentiality Impact Level: Given the nature of most leadership protection information, the provisional confidentiality impact level recommended for the information is moderate.

Integrity
The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. That is, the consequences of unauthorized modification or destruction of leadership protection information may be determined by the specific operation(s) supported by the information. In addition, the consequences may depend on the urgency with which the intelligence information is needed.

Special Factors Affecting Integrity Impact Determination: In the case of Secret Service operations, unauthorized modification or destruction of information affecting leadership protection information may adversely affect mission operations in a manner that results in loss of human life and disruption of government operations. In such cases, the integrity impact level is high.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for most leadership protection information is low.

Availability
The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to leadership protection information.

Special Factors Affecting Integrity Impact Determination: In the case of Secret Service operations, missions supported by leadership protection information are not tolerant of delays with resultant catastrophic consequences for mission capability and human life. In such cases, the availability impact level is high.

Recommended Availability Impact Level: The provisional availability impact level recommended for most leadership protection information is low.

D.16.5 Property Protection Information Type

Property protection entails all activities performed to ensure the security of civilian and government property. The recommended provisional categorization of the property protection information type follows:

Security Category = {(confidentiality, Low), (integrity, Low), (availability, Low)}

Confidentiality
The confidentiality impact level is the effect of unauthorized disclosure of property protection information on the ability of responsible agencies to ensure the security of civilian and government property. The consequences of unauthorized disclosure of property protection information are generally dependent on the nature of the property being protected. Where the property being protected is neither critical to agency operations nor of such value that its loss
would degrade mission capability or place the agency at a significant disadvantage, unauthorized
disclosure would have a limited adverse effect.

**Special Factors Affecting Confidentiality Impact Determination:** Where critical infrastructure facilities
or key national assets are being protected, the consequences of unauthorized disclosure of
property protection information might reveal vulnerabilities in protection measures to terrorists
or other adversaries. Where unauthorized disclosure of property protection information
associated with critical infrastructures, large groups of people, or key national assets is expected
to be of direct use to terrorists, the confidentiality impact level is **high**.

Most protected facilities are not part of *national security*, the critical infrastructure, or key
national asset categories. If unauthorized disclosure of property protection information resulted
in damage to these facilities, serious adverse effects on agency operations and assets could
reasonably be expected to result. This can result in assignment of a **moderate** or **high** impact
level to such information.

Where the property being protected involves classified information, the property protection
information itself might be classified. Some examples include command and control and other
military facilities, foreign intelligence collection or processing facilities, weapons or weapons
facilities, and cryptographic activities. *National security information* is outside the scope of this
guideline.

**Recommended Confidentiality Impact Level:** The provisional confidentiality impact level
recommended for property protection information is **low**.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission,
not on the time required to detect the modification or destruction of information. The
consequences of unauthorized modification or destruction of property protection information
depends on the type of property being protected and on the immediacy with which the
information is expected to be used. In most cases, unauthorized disclosure can be expected to
have limited adverse consequences.

**Special Factors Affecting Integrity Impact Determination:** Unauthorized modification or destruction
of information affecting external communications (e.g., web pages, electronic mail) may
adversely affect operations or public confidence in the agency. However, the potential damage to
the protection mission will usually be of greater concern. If the modified or destroyed
information is tactical i.e., time-critical, there is a greater potential for actions being taken based
on incomplete or false information. This can have serious adverse effects on protection
operation. This can result in assignment of a **moderate** impact level to such information.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for
most property protection information is **low**.
Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to property protection information. Missions supported by property protection information are not typically tolerant of delays, but the consequences of loss of availability of most property protection information are limited.

Special Factors Affecting Availability Impact Determination: The consequences of inability of guard forces and other emergency responders to receive property protection information in a timely manner may result in catastrophic consequences for properties that could include critical infrastructures and key national assets. In general, the availability impact level assigned to property protection information is dependent on what is being protected. This can result in assignment of a moderate or high impact level to such information.

Recommended Availability Impact Level: The provisional availability impact recommended for most property protection information is low.

D.16.6 Substance Control Information Type

Substance control supports activities associated with the enforcement of legal substances (i.e., alcohol and tobacco) and illegal narcotics laws including trafficking, possession, sale, distribution, and other related activities. The provisional security categorization recommended for the substance control information type is as follows:

Security Category = {(confidentiality, Moderate), (integrity, Moderate), (availability, Moderate)}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of substance control information on the ability of responsible agencies to enforce legal substances (i.e., alcohol and tobacco) and illegal narcotics laws including trafficking, possession, sale, distribution, and other related activities. Unauthorized disclosure of a significant proportion of substance control information can compromise investigations, cause apprehension operations to fail, and compromise prosecutions. This can have a serious adverse effect on agency operations and place the agency at a significant disadvantage.

Special Factors Affecting Confidentiality Impact Determination: Unauthorized disclosure of some routine substance control information is unlikely to have more than a limited adverse effect on agency operations, agency assets, or individuals. The confidentiality impact associated with such information is low.

Where the unauthorized disclosure of information exposes sensitive information sources or compromises investigative or interdiction operations, the consequences of unauthorized disclosure of substance control information may have a serious adverse effect on agency operations, significantly degrade mission capability, and/or pose a threat to human life. Where unauthorized disclosure endangers investigations in process, investigative or intelligence information sources, or information regarding witnesses or other critical case file elements, the
danger to human life and key agency missions can be significant. Where unauthorized disclosure endangers witnesses or law enforcement officers, the impact level must be rated as **high**.

Other factors affecting confidentiality impacts associated with substance control information are discussed under Section D.16.1 (Criminal Apprehension) and Section D.16.2 (Criminal Investigation and Surveillance).

Some substance control information is classified (e.g., some intelligence-derived information). Classified information and other **national security information** are outside the scope of this guideline.

**Recommended Confidentiality Impact Level:** The provisional confidentiality impact level recommended for most substance control information is **moderate**.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The amount of money available to perpetrators significantly increases the insider threat. The consequences of unauthorized modification or destruction of information can be serious if the information is critical to tactical operations i.e., is time-critical. Unauthorized modification or destruction of information affecting external communications (e.g., web pages, electronic mail) may adversely affect operations or public confidence in the agency, but the damage to most missions would usually be limited.

**Special Factors Affecting Confidentiality Impact Determination:** Unauthorized modification or destruction of information (particularly time-critical information) affecting internal communications can jeopardize investigations, prosecutions, the lives of witnesses, and the safety of enforcement officers. In some cases, unauthorized modification or destruction of information can result in loss of human life. In such cases, the integrity impact level is **high**.

Other factors affecting integrity impacts associated with substance control information are discussed under Section D.16.1 (Criminal Apprehension) and Section D.16.2 (Criminal Investigation and Surveillance).

**Recommended Integrity Impact Level:** Because the consequences of unauthorized modification or destruction of information can be serious if the information is critical to tactical operations (i.e., is time-critical), the provisional integrity impact level recommended for substance control information is **moderate**.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to substance control information. Most substance control processes are usually tolerant of reasonable delays.

**Special Factors Affecting Availability Impact Determination:** The consequences of unavailability of information can be serious if the information is critical to tactical operations i.e., is time-critical.
Failure of some processes during tactical operations can result in both threats to human life and severe harm to public confidence in the agency. The impact level assigned to information and information systems associated with these tactical processes is **high**.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for most substance control information is **moderate**.

### D.16.7 Crime Prevention Information Type

Crime prevention entails all efforts designed to create safer communities through the control and reduction of crime by addressing the causes of crime and reducing the opportunities of crime. The recommended provisional security categorization for the crime prevention information type is as follows:

\[
\text{Security Category} = \{(\text{confidentiality, Low}), (\text{integrity, Low}), (\text{availability, Low})\}
\]

**Confidentiality**

The confidentiality impact level is the effect of unauthorized disclosure of crime prevention information on the ability of responsible agencies to create safer communities through the control and reduction of crime by addressing the causes of crime and reducing the opportunities of crime. Generally, the unauthorized disclosure of crime prevention information will have only a limited adverse effect on agency operations, assets, or individuals.

**Special Factors Affecting Confidentiality Impact Determination:** In a few cases, details of crime prevention programs are sensitive (e.g., location of actively monitored surveillance cameras where only a fraction of camera feeds are monitored). In such cases, unauthorized disclosure of crime prevention information might have a serious adverse effect on crime prevention operations by eliminating uncertainty regarding surveillance patterns. Therefore, the confidentiality impact might be **moderate**.

**Recommended Confidentiality Impact Level:** The provisional confidentiality impact level recommended for crime prevention information is **low**.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. Crime prevention activities are not generally time-critical. In most cases, the adverse effects of unauthorized modification or destruction of crime prevention information on agency mission functions and/or public confidence in the agency would be limited.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for crime prevention information is **low**.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to crime prevention information. Most
crime prevention processes are tolerant of delay. In most cases, disruption of access to crime prevention information can be expected to have only a limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Availability Impact Determination: In exceptional cases (e.g., orders associated with deployment of officers to provide a crime-discouraging presence in developing threat situations), loss of availability of information can have a serious adverse effect on crime prevention operations. In such cases, the availability impact might be moderate.

Recommended Availability Impact Level: The provisional availability impact level recommended for crime prevention information is low.

D.16.8 Trade Law Enforcement Information Type

Trade law enforcement refers to the enforcement of anti-boycott, international loan, and general trade laws. The security categorization recommended for the trade law enforcement information type is as follows:

Security Category = \{(confidentiality, Moderate), (integrity, Moderate), (availability, Moderate)\}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of trade law enforcement information on the ability of responsible agencies to enforce various Customs laws. Unauthorized disclosure of trade law enforcement information could potentially jeopardize fulfillment of other trade law enforcement missions. Some information that has supported a trade law enforcement process might be of higher sensitivity, and unauthorized disclosure of this information might jeopardize the success of future trade law enforcement processes. The subsequent threat to agency image or reputation can cause a serious adverse effect on an agency’s mission capability. Where information includes names of informants, informant contacts, or agency personnel, the effectiveness of those personnel in future enforcement activities can be permanently impaired, or their lives threatened.

Intelligence information falls under national security systems. National security information and national security systems are outside the scope of this guideline.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for most trade law enforcement information is moderate.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of trade law enforcement information may depend on whether the information is time-critical. The compromise of trade law enforcement information can be serious or, in some cases, catastrophic if the information is time-critical. Also, the results of trade law enforcement activities may become matters of public record, and thus must be accurately recorded.
Special Factors Affecting Integrity Impact Determination: Unauthorized modification or destruction of information affecting trade law enforcement information may adversely affect mission operations and result in unacceptable consequences such as loss of human life. The compromise of trade law enforcement information can be serious or catastrophic if the information is time-critical. This can result in assignment of a high impact level to such information.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for most trade law enforcement information is moderate.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to trade law enforcement information. The effects of disruption of access to trade law enforcement information or information systems can be serious or, in some cases, catastrophic if the information is time-critical. Trade law enforcement missions are typically intolerant of significant time delays.

Recommended Availability Impact Level: The provisional availability impact level recommended for most trade law enforcement information is moderate.

D.17 Litigation and Judicial Activities

Litigation and judicial activities involve all activities necessary for the development and oversight of Federal programs.

D.17.1 Judicial Hearings Information Type

Judicial hearings include activities associated with conducting a hearing in a court of law to settle a dispute. The general recommended security categorization for the judicial hearings information type is as follows:

Security Category = \{(confidentiality, Moderate), (integrity, Low), (availability, Low)\}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of judicial hearings information on the ability of responsible entities to conducting a hearing in a court of law to settle a dispute. While much information associated with judicial hearings is public, some information is sealed by the court and unauthorized disclosure is punishable by law, fine and/or imprisonment. In the vast majority of cases, unauthorized disclosure of judicial hearings information will have only a limited adverse effect on agency operations, assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: Where the life of a victim, witness, or informant may be endangered by unauthorized disclosure, the confidentiality impact is high. Also, where the consequences are likely to endanger public safety, the confidentiality impact is high.
Recommended Confidentiality Impact Level: Given the consequences of unauthorized disclosure, the provisional confidentiality impact level recommended for judicial hearings information is moderate.

Integrity
The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. Judicial hearings activities are not typically time-critical. Modification or destruction of court records can result in disruption or jeopardy to legal proceedings. In most cases, the adverse effects of unauthorized modification or destruction of judicial hearings information on agency mission functions and/or public confidence in the agency will be limited.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for judicial hearings information is low.

Availability
The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to judicial hearings information. Most judicial hearings processes are tolerant of delay. In most cases, disruption of access to judicial hearings information can be expected to have only a limited adverse effect on government operations, agency assets, or individuals.

Special Factors Affecting Availability Impact Determination: In exceptional cases (e.g., orders associated with wiretap or search warrants), loss of availability of information can have a serious or severe adverse effect. In such cases, the availability impact might be moderate or high.

Recommended Availability Impact Level: The provisional availability impact level recommended for judicial hearings information is low.

D.17.2 Legal Defense Information Type
Legal defense refers to the representation of a defendant in a criminal/civil court of law in an attempt to provide constitutional guarantees to legal representation. The sensitivity of much legal information is highly lifecycle-dependent. From a confidentiality perspective, most information associated with litigation and judicial activities is in the public record after the information has been presented in court. The recommended provisional security categorization for the legal defense information type is as follows:

Security Category = \{(confidentiality, Moderate), (integrity, High), (availability, Low)\}

Confidentiality
The confidentiality impact level is the effect of unauthorized disclosure of legal defense information on the representation of a defendant in a criminal/civil court of law and on the ability of the government to provide constitutional guarantees to legal representation. Dissemination of legal defense information is governed by privacy laws and by Rules of Criminal Procedure, Rules of Civil Procedure, and other laws governing adversarial legal proceedings. While much
information associated with legal defense is public, some information is sealed by the court or is otherwise protected from disclosure. Violation of rules regarding unauthorized disclosure is punishable by law, disbarment, fine, and/or imprisonment. Generally, the unauthorized disclosure of legal defense information will have only a limited adverse effect on agency operations, assets, or individuals. Where unauthorized disclosure of information might have a serious adverse effect on legal defense, there is a presumption of a miscarriage of justice. If an unauthorized disclosure is discovered, the legal proceeding may be jeopardized (e.g., a mistrial may be declared). The cost to the government and others in terms of finance, time, and disruption to normal operations can be severe. If suspicion is raised concerning government complicity or negligence, serious loss of public confidence in government agencies or the legal process may result.

Special Factors Affecting Confidentiality Impact Determination: Where the life of a victim, witness, or informant may be endangered by disclosure, the confidentiality impact will be high. Also, where the consequences of a miscarriage of justice are likely to endanger public safety (e.g., release of a terrorist or other murderer), the confidentiality impact will be high.

Recommended Confidentiality Impact Level: Given legal consequences of unauthorized disclosure, the provisional confidentiality impact level recommended for legal defense information is moderate.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. Legal defense activities are not typically time-critical. In most cases, unauthorized modification or destruction of legal defense information will have only a limited adverse effect on government operations, government assets, or individuals.

Special Factors Affecting Integrity Impact Determination: For legal defense information, when evidence or other defense information has been compromised the legal proceedings can be jeopardized. As a consequence, the cost to the government and other entities in terms of finance, time, and disruption to normal operations may be severe. If suspicion is raised concerning government complicity or negligence, serious loss of public confidence in government agencies or the legal process may result. In this case, the integrity impact level will be moderate.

When the modification or destruction of legal defense information endangers public safety (e.g., release of a terrorist or other murderer), the integrity impact will be high. Even if public safety is not endangered, the modification or destruction of legal defense information may result in expensive and disruptive civil or criminal proceedings.

Recommended Integrity Impact Level: Given the legal consequences of unauthorized modification or destruction and potential consequences for human life, the provisional integrity impact level recommended for legal defense information is high.
Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to legal defense information. Most legal defense processes are tolerant of delay. Delays can impact court schedules, cause significant taxpayer expense, and potentially jeopardize legal proceedings (see C17.2.2). In most cases, disruption of access to legal defense information can be expected to have only a limited adverse effect on government operations, agency assets, or individuals.

Special Factors Affecting Availability Impact Determination: In exceptional cases (e.g., information affecting a ruling regarding an impending execution), loss of availability of information can have a severe adverse effect. The consequent availability impact level would be high.

Special Factors Affecting Availability Impact Determination: The provisional availability impact level recommended for legal defense information is low.

D.17.3 Legal Investigation Information Type

Legal investigation supports activities associated with gathering information about a given party (government agency, citizen, corporation) that would be admissible in a court of law, in an attempt to prove guilt or innocence. The recommended provisional categorization of the legal investigation information type follows:

Security Category = \{(confidentiality, Moderate), (integrity, Moderate), (availability, Moderate)\}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of legal investigation information on the ability of responsible agencies to gather information about a given party (government agency, citizen, corporation) that would be admissible in a court of law, in an attempt to prove guilt or innocence.

Special Factors Affecting Confidentiality Impact Determination: The consequences of unauthorized disclosure of legal investigation information depend 1) on the seriousness of the crime involved, 2) timing (e.g., the ability of the criminal\(^{31}\) to access the information and use it to commit a crime or to evade detection or surveillance), and 3) on the capability criminal to injure witnesses or law enforcement officials. In cases where 1) the crimes are not violent and do not involve extraordinarily large property losses, and 2) there is no indication of a record of violence on the part of the criminal, the confidentiality impact may be low or moderate.

Given the nature of many of the crimes that are the responsibility of Federal law enforcement agencies, the consequences associated with unauthorized disclosure of legal investigation information will pose a threat to human life or result in a loss of major assets. Additionally, when the disclosure concerns matters of multi-national interest, such as trade enforcement, tariff agreements, etc., or where foreign nationals might be involved, the confidentiality impact will be

---

\(^{31}\) In this case, the term “criminal entity” includes both the criminal and legal representative(s) of the criminal (i.e., council).
**high.** Information that reveals the identity and/or location of informants may be of particular concern.

**Recommended Confidentiality Impact Level:** Given potentially serious to severe legal consequences of unauthorized disclosure, the provisional confidentiality impact level recommended for legal investigation information is *moderate.*

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of legal investigation information may depend on whether the information is time-critical. Unauthorized modification or destruction of information affecting external communications associated with legal investigative organizations (e.g., web pages, electronic mail) may adversely affect operations or public confidence in the agency, but the damage to the mission would usually be limited.

Where unauthorized modification or destruction of information has an adverse effect on the granting/executing of a search or wiretap warrant or on the success of the subsequent prosecution, a serious adverse effect on agency operations may result. This can place the agency at a significant disadvantage.

**Special Factors Affecting Integrity Impact Determination:** Legal investigation mission requirements may include time-critical information. In such cases, major investigations can be jeopardized by the unauthorized modification or destruction of legal investigation information. Where the criminal case under investigation involves major property losses, large-scale financial frauds, poses a threat to key national assets or human life, the integrity impact level recommended for legal investigation information is *high.*

When legal investigation information addresses international matters, such as trade enforcement or tariff agreements or when foreign nationals are involved, the integrity level is *high.* Any deliberate or inadvertent corruption of such information could result in catastrophic adverse effects on future operations, individual or agency reputations, and human life.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for legal investigation information is *moderate.*

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to legal investigation information. Missions supported by legal investigation information are not typically tolerant of delay with resultant serious consequences for ongoing investigations.

**Special Factors Affecting Availability Impact Determination:** Where the crimes involved pose a threat to human life and/or result in a loss of major assets, the availability impact level recommended for legal investigation information is *high.*
Recommended Availability Impact Level: The provisional availability impact level recommended for legal investigation information is moderate.

D.17.4 Legal Prosecution/Litigation Information Type

Legal prosecution/litigation includes all activities involved with presenting a case in a legal proceeding both in a criminal or civil court of law in an attempt to prove guilt/responsibility. The recommended provisional security categorization for the legal prosecution/litigation information type is as follows:

Security Category = {(confidentiality, Low), (integrity, Moderate), (availability, Low)}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of legal prosecution/litigation information on the ability of responsible agencies to present a case in a legal proceeding either in a criminal or civil court of law in an attempt to prove guilt/responsibility. Dissemination of legal prosecution/litigation information is governed by privacy laws and by Rules of Criminal Procedure, Rules of Civil Procedure, and other laws governing adversarial legal proceedings. While most information associated with legal prosecution/litigation is public, some information is sealed by the court or is otherwise protected from disclosure. Violation of rules regarding unauthorized disclosure is punishable by law, disbarment, fine, and/or imprisonment. Generally, the unauthorized disclosure of legal prosecution/litigation information will have only a limited adverse effect on agency operations, assets, or individuals. In criminal cases, the consequences of unauthorized disclosure of legal prosecution information are affected by 1] the seriousness of the crime involved, 2] timing (e.g., the ability of the criminal to access the information and use it to commit a crime or evade detection or surveillance), and 3] the capability of the criminal to injure witnesses or law enforcement officials.

Special Factors Affecting Confidentiality Impact Determination: Where unauthorized disclosure of information might have a serious adverse effect on legal prosecution/litigation, there is a presumption of a miscarriage of justice. If an unauthorized disclosure is discovered, the legal proceeding is jeopardized (e.g., a mistrial may be declared). The cost to the government and others in terms of finance, time, and disruption to normal operations can be severe. If suspicion is raised concerning government complicity or negligence, serious loss of public confidence in government agencies or the legal process may result. In this case, the confidentiality impact of unauthorized disclosure will be moderate.

Where the life of a complainant, victim, witness, or informant may be endangered by disclosure, the confidentiality impact will be high. Also, where the consequences of a miscarriage of justice are likely to endanger public safety (e.g., release of a terrorist or other murderer), the confidentiality impact will be high.

Given the nature of many of the crimes that are the responsibility of Federal law enforcement agencies, the consequences associated with unauthorized disclosure of legal prosecution information must be assumed to pose a threat to human life or result in a loss of major assets. Additionally, when a legal proceeding concerns matters of trans-national interest, such as trade
enforcement, tariff agreements, etc., or where foreign nationals might be involved, the confidentiality impact will be high. Information that reveals the identity and/or location of informants may be of particular concern.

[The impact of unauthorized disclosure of national security information is outside the scope of this guideline.]

Recommended Confidentiality Impact Level: Given the public nature of and disclosure rules associated with most prosecution/litigation information, the provisional confidentiality impact level recommended is low. In cases where 1) the crimes are not violent and do not involve extraordinarily large property losses, and 2) there is no indication of a record of violence on the part of the criminal, the confidentiality impact may be low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. Legal prosecution/litigation activities are not typically time-critical. Unauthorized modification or destruction of information affecting external communications associated with legal prosecution/litigation organizations (e.g., web pages, electronic mail) may adversely affect operations or public confidence in the agency, but the damage to the mission would usually be limited. In general, the unauthorized modification or destruction of legal prosecution/litigation information will have only a limited adverse effect on government operations, government assets, or individuals. However, if evidence or other defense information has been compromised, legal proceedings may be affected (e.g., a mistrial may be declared). The subsequent cost to the government in terms of finance, time, and disruption to normal operations may be severe. If suspicion is raised concerning government complicity or negligence, serious loss of public confidence in government agencies or the legal process may result.

Special Factors Affecting Integrity Impact Determination: Where the life of a victim, witness, or informant may be endangered, the integrity impact will be high. Also, where the consequences of a miscarriage of justice are likely to endanger public safety (e.g., release of a terrorist or other murderer), the integrity impact will be high.

Recommended Integrity Impact Level: Given the legal consequences of the unauthorized modification or destruction of legal prosecution/litigation information, the provisional integrity impact level recommended for legal prosecution/litigation information is moderate.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to legal prosecution/litigation information. Most legal prosecution/litigation processes are tolerant of delay even though the delays can impact court schedules, cause significant taxpayer expense, and potentially jeopardize legal proceedings (see C17.4.2). Typically, the disruption of access to legal prosecution/litigation information can be expected to have only a limited adverse effect on government operations, agency assets, or individuals.
Special Factors Affecting Availability Impact Determination: In exceptional cases (e.g., information affecting a ruling regarding an impending execution), loss of availability of information can have a severe adverse effect. The availability impact level recommended for this legal prosecution/litigation information is high.

Recommended Availability Impact Level: The provisional availability impact level recommended for legal prosecution/litigation information is low.

D.17.5 Resolution Facilitation Information Type

Resolution facilitation involves all activities outside of a court of law that may be used in an attempt to settle a dispute between two or more parties (government, citizen, corporation). The general recommended security categorization for the resolution facilitation information type is as follows:

Security Category = \{(confidentiality, Moderate), (integrity, Low), (availability, Low)\}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of resolution facilitation information on the ability of responsible entities to settle a dispute between two or more parties (government, citizen, corporation) outside of a court of law. While some information associated with resolution facilitation is public, much of the information is private and/or proprietary. Unauthorized disclosure of such information can disrupt or defeat the dispute resolution process. The consequences typically depend on the nature of the dispute. Jeopardy to the resolution process will not usually involve threats to critical infrastructures, key national assets, or human life. Typically, the unauthorized disclosure of resolution facilitation information will have only a limited adverse effect on agency operations, assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: Where large monetary amounts and/or violent crimes are involved, the confidentiality impact of unauthorized disclosure of resolution facilitation information is at least moderate.

In exceptional cases human lives may be jeopardized by failure of the resolution facilitation process. Additionally, when resolution facilitation concerns matters of trans-national interest, such as trade enforcement, tariff agreements, etc., or where foreign nationals might be involved, the confidentiality impact will be high.

Recommended Confidentiality Impact Level: Given the legal consequences of unauthorized disclosure, the provisional confidentiality impact level recommended for resolution facilitation information is moderate.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. Resolution facilitation activities are not typically time-critical. The modification or destruction of court records may result in disruption or jeopardy of legal proceedings. In most cases, the adverse
effects of unauthorized modification or destruction of resolution facilitation information on agency mission functions and/or public confidence in the agency can be expected to be limited.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for resolution facilitation information is *low*.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to resolution facilitation information. Most resolution facilitation processes are tolerant of delay. In most cases, disruption of access to resolution facilitation information can be expected to have only a limited adverse effect on government operations, agency assets, or individuals.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for resolution facilitation information is *low*.

---

**D.18 Federal Correctional Activities**

Correctional Activities involves all Federal activities that ensure the effective incarceration and rehabilitation of convicted criminals.

**D.18.1 Criminal Incarceration Information Type**

Criminal incarceration includes activities associated with the housing, custody and general care of criminals sentenced to serve time in penitentiaries. The following security categorization is recommended for the criminal incarceration information type:

Security Category = {confidentiality, Low}, integrity, Moderate), (availability, Low)}

**Confidentiality**

The confidentiality impact level is the effect of unauthorized disclosure of criminal incarceration information on the ability of responsible agencies to provide housing, custody, and general care for criminals sentenced to serve time in a Federal penitentiary. The consequences of unauthorized disclosure of most criminal incarceration information are unlikely to have a serious adverse effect on agency operations. The most serious adverse effects are likely to involve exposure of information that is proprietary to prisoners that can result in damaging publicity for an organization. (Unauthorized disclosure of some information can conceivably have serious impact on the status or resolution of appeal actions). The consequences of unauthorized disclosures may have an adverse effect on public confidence in the agency.

**Recommended Confidentiality Impact Level:** The provisional confidentiality impact level recommended for most criminal incarceration information is normally *low*.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The
consequences of unauthorized modification or destruction of criminal incarceration information can be serious if the information is time-critical and results in the premature release of a criminal, unjust retention of an individual in the prison system, or harm to a citizen’s reputation or public confidence in the government.

Special Factors Affecting Integrity Impact Determination: In some cases (e.g., instructions regarding a need to isolate a prisoner from the general prison population for personal safety reasons), the unauthorized modification or destruction of criminal incarceration information can result in loss of human life a high impact potential.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for criminal incarceration information is moderate.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to criminal incarceration information. Criminal incarceration processes are usually tolerant of reasonable delays.

Special Factors Affecting Availability Impact Determination: There may be cases (e.g. emergency bulletins affecting prisoner health and/or safety) in which emergency dissemination of information regarding life-threatening situations is delayed for excessive periods. Such cases can result in a high availability impact level.

Recommended Availability Impact Level: The provisional availability impact level recommended for criminal incarceration information is low.

D.18.2 Criminal Rehabilitation Information Type

Criminal Rehabilitation includes all government activities devoted to providing convicted criminals with the educational resources and life skills necessary to rejoin society as responsible and contributing members. The recommended provisional categorization of the criminal rehabilitation information type follows:

Security Category = {{(confidentiality, Low), (integrity, Low), (availability, Low)}}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of criminal rehabilitation information on the ability of responsible agencies to provide convicted criminals with the educational resources and life skills necessary to rejoin society as responsible and contributing members. The consequences of unauthorized disclosure of most criminal rehabilitation information would have a limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: Exceptions that might have a potential for more serious consequences are based on privacy information processed in criminal rehabilitation systems (e.g., information required by the Privacy Act of 1974 (The Privacy Act
Information provisional impact levels are documented in the Personal Identity and Authentication information type) or other statutes and executive orders to receive special handling to protect the privacy of individuals. This can result in assignment of a moderate impact level to such information.

**Recommended Confidentiality Impact Level:** The provisional confidentiality impact level recommended for criminal rehabilitation information is *low*.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of criminal rehabilitation information would have a limited adverse effect on agency operations, agency assets, or individuals. Unauthorized modification or destruction of information affecting external communications (e.g., web pages, electronic mail) may adversely affect operations and/or public confidence in the agency, but the damage to the mission would usually be limited.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for most criminal rehabilitation information is *low*.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to criminal rehabilitation information. The effects of disruption of access to most criminal rehabilitation information or information systems would have a limited adverse effect on agency operations, agency assets, or individuals.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for criminal rehabilitation information is *low*.

**D.19 General Sciences and Innovation**

General Science and Innovation includes all Federal activities to meet the national need to advance knowledge in this area. This includes general research and technology programs, space exploration activities, and other research and technology programs that have diverse goals and cannot be readily classified into another mission area or information type.

**D.19.1 Scientific and Technical Research and Innovation Information Type**

Scientific Innovation includes all federal activities whose goal is the creation of new scientific and/or technological knowledge as a goal in itself, without a specific link to the other mission areas or information types identified in the OMB Business Reference Model. Most sensitive information is developed under research and development programs that directly support another of the mission areas described in this Appendix and are not included here. Some information associated with scientific and technical research and innovation is *national security information* and is outside the scope of this guideline. The recommended provisional categorization for the scientific and technical research and innovation information type follows:
Security Category = \{(confidentiality, Low), (integrity, Moderate), (availability, Low)\}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of scientific and technical research and innovation information on the ability of responsible agencies to create new scientific and/or technological knowledge as a goal in itself, without a specific link to other program areas or information types. Many scientific and technical research and innovation activities are conducted in association with public institutions of higher learning, and the findings resulting from those activities are intended for publication.

Special Factors Affecting Confidentiality Impact Determination: The pre-publication disclosure or other unauthorized disclosure of information associated with competition for funding and recognition (e.g., grants, development contract, patent rights, and copyrights) can have a serious adverse effect on agency operations, agency assets, or individuals. In such cases, the confidentiality impact level associated for scientific and technical research and innovation information will be moderate.

In some cases, the information associated with scientific and technical research and innovation is classified or otherwise qualified as national security information. Such information is outside the scope of this guideline.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for most scientific and technical research and innovation information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of most information associated with scientific and technical research and innovation can be seriously disruptive to the progress of research activities. The effects on future funding can be quite serious and can have a serious adverse effect on agency operations, agency assets, or individuals. Unauthorized modification or destruction of information affecting external communications (e.g., web pages, electronic mail) may adversely affect operations and/or public confidence in the agency, but the damage to the mission would usually be more limited.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for scientific and technical research and innovation information is moderate.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to scientific and technical research and innovation information. Most research processes are tolerant of delay. In most cases, disruption of access to research and innovation information can be expected to have only a limited adverse effect on government operations, agency assets, or individuals.
**Recommended Availability Impact Level:** The provisional availability impact level recommended for scientific and technical research and innovation information is *low*.

**D.19.2 Space Exploration and Innovation Information Type**

Space Exploration and Innovation includes all activities devoted to innovations directed at human and robotic space flight and the development and operation of space launch and transportation systems, and the general research and exploration of outer space. While some space exploration and innovation is *national security information*, most sensitive information is developed under research and development programs that directly support another of the mission areas described in this Appendix and are not included here. The recommended provisional categorization of the research and development information type follows:

\[
\text{Security Category} = \{(\text{confidentiality, Low}), (\text{integrity, Moderate}), (\text{availability, Low})\}
\]

**Confidentiality**

The confidentiality impact level is the effect of unauthorized disclosure of space exploration and innovation information on the ability of responsible agencies to conduct activities devoted to [1] innovations directed at human and robotic space flight and the development and operation of space launch and transportation systems, and [2] the general research and exploration of outer space. Many space exploration and innovation activities are conducted with public institutions of higher learning, and the findings resulting from those activities are intended for publication.

**Special Factors Affecting Confidentiality Impact Determination:** The pre-publication disclosure or other unauthorized disclosure of information associated with competition for funding and recognition (e.g., grants, development contract, patent rights, and copyrights) can have a serious adverse effect on agency operations, agency assets, or individuals. In such cases, the confidentiality impact associated with space exploration and innovation is *moderate*.

In some cases, the space exploration and innovation information is classified or otherwise qualifies as *national security information*. This information is outside the scope of this guideline.

**Recommended Confidentiality Impact Level:** The provisional confidentiality impact level recommended for most space exploration and innovation information is *low*.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of most space exploration and innovation information can be seriously disruptive to the progress of research activities. The effects on future funding can be quite serious and can have a serious adverse effect on agency operations, agency assets, or individuals. Unauthorized modification or destruction of information affecting external communications (e.g., web pages, electronic mail) may adversely affect operations and/or public confidence in the agency, but the damage to the mission would usually be limited.
Recommended Integrity Impact Level: The provisional integrity impact level recommended for space exploration and innovation information is moderate.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to space exploration and innovation information. Most research and innovation processes are tolerant of delay. In most cases, disruption of access to research and innovation information will have only a limited adverse effect on government operations, agency assets, or individuals.

Recommended Availability Impact Level: The provisional availability impact level recommended for space exploration and innovation information is low.

D.20 Knowledge Creation and Management

Knowledge Creation and Management involves the programs and activities in which the Federal Government creates or develops a body or set of knowledge, the manipulation and analysis of which can provide inherent benefits for both the Federal and private sector.

D.20.1 Research and Development Information Type

Research and Development involves the gathering and analysis of data, dissemination of results, and development of new products, methodologies, and ideas. The sensitivity and criticality of most research and development information depends on the subject matter involved. The recommended provisional categorization of the research and development information type follows:

Security Category = \{\text{confidentiality, Low}, \text{integrity, Moderate}, \text{availability, Low}\}

Confidentiality

The confidentiality impact level depends on the effect of unauthorized disclosure of research and development information on the ability of responsible agencies to gather and analyze data, disseminate results, and develop new products, methodologies, and ideas, and on the degree to which unauthorized disclosure of the information can assist hostile institutions to do harm to the interests of the government of the United States. Many research and development activities are conducted in association with public institutions of higher learning, and the findings resulting from those activities are intended for publication. Unauthorized disclosure of most research and development information can be expected to have only limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: Most research and development information is proprietary. Unauthorized disclosure of proprietary information violates several statutes and Federal regulations (see Appendix E). Pre-publication disclosure or other unauthorized disclosure of research findings can have a serious adverse effect on agency operations, agency assets, or individuals. In such cases, the confidentiality impact level associated with research and development is moderate.
Premature and/or partial release of preliminary research and development information can lead to misleading conclusions by policy makers, funding entities, news organizations, and/or the general public. Where the research and development activities are associated with security measures or law enforcement tools, potential adversaries may derive insights on countermeasures development. In extreme cases, the resulting confidentiality impact can be high.

In some cases, the research and development information is classified or otherwise qualifies as national security information. Such information is outside the scope of this guideline.

**Recommended Confidentiality Impact Level:** The provisional confidentiality impact level recommended for most government research and development information is **low**.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of most research and development information can be seriously disruptive to the progress of research activities. The effects on future funding can be serious and can have a serious adverse effect on agency operations, agency assets, or individuals. Unauthorized modification or destruction of information affecting external communications (e.g., web pages, electronic mail) may adversely affect operations and/or public confidence in the agency, but the damage to the mission would usually be more limited.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for research and development information is **moderate**.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to research and development information. Most research and innovation processes are tolerant of delay. In most cases, disruption of access to research and innovation information will have only a limited adverse effect on government operations, agency assets, or individuals.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for research and development information is **low**.

**D.20.2 General Purpose Data and Statistics Information Type**

General purpose data and statistics includes activities performed in providing empirical, numerical, and related data and information pertaining to the current state of the nation in areas such as the economy, labor, weather, international trade, etc. The recommended provisional categorization of the General Purpose Data and Statistics information type follows:

Security Category = \{(confidentiality, Low), (integrity, Low), (availability, Low)\}
Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of general purpose data and statistics information on the ability of responsible agencies to provide empirical, numerical, and related data and information pertaining to the current state of the nation in areas such as the economy, labor, weather, international trade, etc. The consequences of unauthorized disclosure of most general-purpose data and statistics information would have only a limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: Unauthorized premature disclosure of much economic (e.g., agricultural commodity, economic indicators) data and statistics information can result in major financial consequences. In some cases, premature disclosure of this information can impact major financial markets and damage national banking and finance infrastructures. Unauthorized and premature disclosure to a single institution (e.g., a major commodity brokerage house), could damage faith in general-purpose data and statistics gathering and development institutions, result in even more market disruption, and have a severe or catastrophic adverse effect on public confidence in the agency. Even when the consequences are limited to giving an unfair market advantage to a single financial or commercial institution, unauthorized disclosure can have a serious adverse effect on public confidence in the agency and its staff. This can result in assignment of a moderate impact level to such information.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for most general-purpose data and statistics information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of general-purpose data and statistics information may depend on whether the information is time-critical. Unauthorized modification or destruction of information affecting external communications (e.g., web pages, electronic mail) may adversely affect operations or public confidence in the agency, but the damage to the mission would usually be limited.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for general-purpose data and statistics information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to general-purpose data and statistics information. Missions supported by general-purpose data and statistics information are generally tolerant of delay.

Recommended Availability Impact Level: The provisional availability impact level recommended for general-purpose data and statistics information is low.
D.20.3 Advising and Consulting Information Type

Advising and Consulting activities involve the guidance and consultative services provided by the Federal Government to support the implementation of a specific service provided to citizens. The recommended provisional categorization of the advising and consulting information type follows:

Security Category = \{(confidentiality, Low), (integrity, Low), (availability, Low)\}

Confidentiality
The confidentiality impact level is the effect of unauthorized disclosure of advising and consulting information on the ability of responsible agencies to provide guidance and consultative services to support the implementation of a specific service to citizens. The consequences of unauthorized disclosure of advising and consulting information depends on the nature of the service being provided and on the sensitivity of the information with which advisory or consulting entities are working. The consequences of unauthorized disclosure of most advising and consulting information would have a limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: Where consulting support involves classified or other national security information, the consequences of unauthorized disclosure can be severe but are outside the scope of this guideline. In other cases, such as consultative services provided to law enforcement institutions, the consequences of unauthorized disclosure can be serious or even life threatening. This can result in assignment of a moderate or high impact level to such information.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for advising and consulting information is low.

Integrity
The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of advising and consulting information would have, at most, a limited adverse effect on agency operations, agency assets, or individuals. Unauthorized modification or destruction of information affecting external communications (e.g., web pages, electronic mail) may adversely affect operations and/or public confidence in the agency, but the damage to the mission would usually be limited.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for advising and consulting information is low.

Availability
The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to advising and consulting information. The effects of disruption of access to most advising and consulting information or information systems would have limited adverse effect on agency operations, agency assets, or individuals.
Recommended Availability Impact Level: The provisional availability impact level recommended for advising and consulting information is **low**.

**D.20.4 Knowledge Dissemination Information Type**

Knowledge Dissemination addresses those instances where the primary method used in delivering a service is through the publishing or broadcasting of information, such as the Voice of America or web-based museums maintained by the Smithsonian. Knowledge Dissemination is not intended to address circumstances where the publication of information is a by-product of a mission rather than the mission itself. The recommended provisional security categorization of the knowledge dissemination information type follows:

Security Category = \{ (confidentiality, Low), (integrity, Low), (availability, Low) \}

**Confidentiality**

The confidentiality impact level is the effect of unauthorized disclosure of knowledge dissemination information on the ability of responsible agencies to publish or broadcast information. Premature and unauthorized disclosure of information being considered for broadcast can be harmful if the information is subsequently determined to be false or counterproductive to the knowledge dissemination mission. However, the consequences of unauthorized disclosure of most knowledge dissemination information would have, at most, a limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: Unauthorized disclosure of some policies governing knowledge dissemination missions can be harmful to the agency mission (e.g., some internal Voice of America editorial policies). This can result in assignment of a **moderate** impact level to such information.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for knowledge dissemination information is **low**.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of knowledge dissemination information may depend on whether the information is time-critical. Unauthorized modification or destruction of information affecting external communications (e.g., web pages, electronic mail) may adversely affect operations and/or public confidence in the agency, but the damage to the mission would usually be limited. In most cases, the consequences of unauthorized modification or destruction of knowledge dissemination information would have a limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Integrity Impact Determination: In cases of dissemination of erroneous/defamatory information, an agency mission can be seriously harmed and the impact level will be **moderate**.
Recommended Integrity Impact Level: The provisional integrity impact level recommended for knowledge dissemination information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to knowledge dissemination information. The effects of disruption of access to most knowledge dissemination information or information systems would have a limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Availability Impact Determination: An exception is the extended disruption of broadcast capabilities (e.g., Voice of America). Here, the agency mission is seriously harmed and the impact of the consequences will be moderate.

Recommended Availability Impact Level: The provisional availability impact level recommended for most knowledge dissemination information is low.

D.21 Regulatory Compliance and Enforcement

Regulatory Compliance and Enforcement involves the direct monitoring and oversight of a specific individual, group, industry, or community participating in a regulated activity via market mechanisms, command and control features, or other means to control or govern conduct or behavior.

D.21.1 Inspections and Auditing Information Type

Inspections and Auditing involves the methodical examination and review of regulated activities to ensure compliance with standards for regulated activity. The recommended security categorization for the inspections and auditing information type is as follows:

Security Category = {(confidentiality, Moderate), (integrity, Moderate), (availability, Low)}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of inspections and auditing information on the ability of responsible agencies to methodically examine and review regulated activities to ensure compliance with standards for regulated activity. If the inspections and auditing data belongs to one of the information types described in this guideline, the confidentiality impact assigned the data and system is dependent on the nature of the regulated activity.

Special Factors Affecting Confidentiality Impact Determination: Unauthorized disclosure of inspections and auditing information can alert personnel associated with programs being monitored to the focus of inspection or auditing activities. With this information, program personnel may divert attention from questionable program attributes or hide unfavorable information. Where a major program or human safety is at stake, actions taken based on
Unauthorized disclosure of inspections and auditing information can pose a threat to human life or a loss of major assets. In such cases, the confidentiality impact is high.

*National security information* and *national security systems* are outside the scope of this guideline.

**Recommended Confidentiality Impact Level:** Although there are many Federal environments in which unauthorized disclosure will have only a limited adverse effect, there are enough circumstances in which serious adverse effects on agency operations, agency assets, or individuals can result to justify recommendation of a *moderate* provisional confidentiality impact level for inspections and auditing information.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of inspections and auditing information can compromise the effectiveness of the program. The damage likely to be caused by unauthorized modification or destruction may affect inspection or audit results with subsequent serious adverse effects on agency operations or public confidence in the agency. The consequences can be particularly serious if the destruction or modification of information invalidates oversight of major programs or the information threatens human safety. The integrity impact level depends on the laws or policies with which compliance is being determined and on the criticality of the processes being monitored (e.g., correctness of contract expenditure reporting versus safety regulations affecting manned space flight).

**Recommended Integrity Impact Level:** Although there are regulatory environments in which a *low* impact level is appropriate, the circumstances associated with most inspections and auditing support information require at least a *moderate* provisional integrity impact level.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to inspections and auditing information. In most cases, disruption of access to inspections and auditing information is expected to have only a limited adverse effect on agency operations, agency assets, or individuals. Not many inspection or auditing operations involve activities for which temporary loss of availability is likely to cause significant degradation in mission capability, place the agency at a significant disadvantage, result in major damage to major assets, or pose a threat to human life.

**Recommended Availability Impact Level:** For most inspection and audit functions, the recommended provisional availability impact level is *low*.

**D.21.2 Standards Setting/Reporting Guideline Development Information Type**

Standard Setting/Reporting Guideline Development involves the establishment of allowable limits associated with a regulated activity and the development of reporting requirements necessary to monitor and control compliance with allowable limits. This includes the
development of requirements for product sampling and testing, emissions monitoring and control, incident reporting, financial filings, etc. The following provisional security categorization is recommended for the standards setting/reporting guideline development information type:

\[
\text{Security Category} = \{(\text{confidentiality, Low}), (\text{integrity, Low}), (\text{availability, Low})\}
\]

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of standards setting/reporting guideline development information on the abilities of responsible agencies to establish allowable limits associated with a regulated activity and to develop reporting requirements necessary to monitor and control compliance with allowable limits. In a few cases, the unauthorized public dissemination of standards or guidelines information can harm the effectiveness of the function being supported (e.g., public dissemination of Internal Revenue Service audit thresholds for certain deductions). However, most Federal standards and guidelines are intended for public dissemination. The consequences of unauthorized disclosure of the majority of standards setting/reporting guideline development information will result in a limited adverse effect on agency operations, agency assets, or individuals.

There are some cases for which standards or guidelines include classified or other national security information. Such cases are outside the scope of this guideline.

**Recommended Confidentiality Impact Level:** The provisional confidentiality impact level recommended for standards setting/reporting guideline development information is **low**.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of standards setting/reporting guideline development information depends primarily on the criticality of the information with respect to agency mission capability, protection of agency assets, and safety of individuals. In general, the effects of modifications or deletions of standards setting/reporting guideline development information are limited with respect to agency missions or assets.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for standards setting/reporting guideline development information is **low**.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to standards setting/reporting guideline development information. The nature of standards setting/reporting guideline development processes is tolerant of reasonable delays.
Recommended Availability Impact Level: The provisional availability impact level recommended for standards setting/reporting guideline development information is low.

D.21.3 Permits and Licensing Information Type

Permits and Licensing involves activities associated with granting, revoking, and the overall management of the documented authority necessary to perform a regulated task or function. The following security categorization is recommended for the permits and licensing information type:

Security Category = \{(confidentiality, Low), (integrity, Low), (availability, Low)\}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of permits and licensing information on the abilities of responsible agencies to manage the documented authority necessary to perform a regulated task or function. The consequences of unauthorized disclosure of the majority of permits and licensing information will result in a limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: Where more sensitive information is involved, it will typically be personal information subject to the Privacy Act of 1974, the Health Insurance Portability and Accountability Act of 1996, or other laws and executive orders affecting the dissemination of information regarding individuals. The Privacy Act Information provisional impact levels are documented in the Personal Identity and Authentication information type. In such cases, the consequences of unauthorized disclosure of permits and licensing information could be serious. In such cases, the confidentiality impact level might be moderate.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for most permits and licensing information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of permits and licensing information depends primarily on the criticality of the regulated activity with respect to protection of government assets, and safety of individuals. Typically, the effects of modification or deletion of permits and licensing information are limited with respect to agency missions or assets.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for permits and licensing information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to permits and licensing information. The nature of permits and licensing processes is tolerant of reasonable delays.
Recommended Availability Impact Level: The provisional availability impact level recommended for permits and licensing information is *low*.

### D.22 Public Goods Creation and Management

The construction, manufacturing, administration, and/or management of goods, structures, facilities, common resources, etc. used for the general well being of the American public or society at large.

#### D.22.1 Manufacturing Information Type

Manufacturing involves all programs and activities in which the Federal Government produces both marketable and non-marketable goods. The following provisional security categorization is recommended for the manufacturing information type:

**Security Category** = \{(confidentiality, Low), (integrity, Low), (availability, Low)\}

**Confidentiality**

The confidentiality impact level is the effect of unauthorized disclosure of manufacturing information on the abilities of responsible agencies to produce both marketable and non-marketable goods. In a few cases, unauthorized disclosure of details of the products or manufacturing processes can give adversaries opportunities (e.g., terrorism, industrial espionage). However, in most cases, the consequences of unauthorized disclosure of manufacturing information will result in a limited adverse effect on agency operations, agency assets, or individuals.

There are some cases for which manufacturing or product information includes classified or other *national security information*. Such cases are outside the scope of this guideline.

**Recommended Confidentiality Impact Level**: The provisional confidentiality impact level recommended for manufacturing information is *low*.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of manufacturing information depends primarily on the criticality of the information with respect to a manufacturing process and on the volume and use of the end product. Typically, the effects of modification or deletion of manufacturing information are generally limited with respect to agency missions or assets.

**Recommended Integrity Impact Level**: The provisional integrity impact level recommended for manufacturing information is *low*.
Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to manufacturing information. The nature of most government manufacturing processes is tolerant of reasonable delays.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for manufacturing information is *low*.

D.22.2 Construction Information Type

Construction involves all programs and activities in which the Federal Government builds or constructs facilities, roads, dams, etc. The following security categorization is recommended for the construction information type:

Security Category = \{(confidentiality, Low), (integrity, Low), (availability, Low)\}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of construction information on the abilities of responsible agencies to build or construct facilities, roads, dams, etc. In most cases, the consequences of unauthorized disclosure of construction information will result in a limited adverse effect on agency operations, agency assets, or individuals.

**Special Factors Affecting Confidentiality Impact Determination:** In some cases, construction details can be of use to terrorists or other criminals who seek to penetrate or destroy government installations. Unauthorized disclosure of some construction details (e.g., alarm designs, points of vulnerability to the structural integrity of a dam or building) can result in danger to critical infrastructures, key national assets, or human life. In such cases, the confidentiality impact may be *high*.

There are some cases for which construction information includes classified or other national security information. Such cases are outside the scope of this guideline.

**Recommended Confidentiality Impact Level:** The provisional confidentiality impact level recommended for construction information is *low*.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of construction information depends primarily on the criticality of the information. Typically, the effects of modification or deletion of construction information are limited with respect to agency missions or assets.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for construction information is *low*. 
Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to construction information. The nature of most government construction processes is tolerant of reasonable delays.

Recommended Availability Impact Level: The provisional availability impact level recommended for construction information is low.

D.22.3 Public Resources, Facilities and Infrastructure Management Information Type

Public Resources, Facilities and Infrastructure Management involves the management and maintenance of government-owned capital goods and resources (natural or otherwise) on behalf of the public, usually with benefits to the community at large as well as to the direct user. Examples of facilities and infrastructure include schools, roads, bridges, dams, harbors, and public buildings. Examples of resources include parks, cultural artifacts and art, endangered species, oil reserves, etc. The following security categorization is recommended for the public resources, facilities, and infrastructure management information type:

Security Category = {(confidentiality, Low), (integrity, Low), (availability, Low)}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of public resources, facilities, and infrastructure management information on the abilities of responsible agencies to manage and maintain government-owned capital goods and resources (natural or otherwise) on behalf of the public, usually with benefits to the community at large as well as to the direct user. In most cases, the consequences of unauthorized disclosure of public resources, facilities, and infrastructure management information will result in a limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: In some cases, premature unauthorized disclosure of management information can give an unfair competitive advantage to a commercial interest (e.g., proposed changes for management of petroleum reserves). The confidentiality impact of consequent loss of public confidence and/or serious economic disruption might be moderate.

In other cases, public resources, facilities, and infrastructure management details can be of use to terrorists or other criminals who seek to penetrate the security of government property or to harm populations. Unauthorized disclosure of some public resources, facilities, and infrastructure management details to criminals (e.g., facilities security dispositions, building alarm designs), can result in danger to critical infrastructures, key national assets, or human life. In such cases, the confidentiality impact can be high.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for most public resources, facilities, and infrastructure management information is low.
Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of public resources, facilities, and infrastructure management information depends primarily on the criticality of the information with respect to management of public resources, facilities, and infrastructures. Typically, the effects of modification or deletion of public resources, facilities, and infrastructure information are limited with respect to agency missions or assets.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for public resources, facilities, and infrastructure management information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to public resources, facilities, and infrastructure management information. The nature of most government public resources, facilities, and infrastructure management processes is tolerant of reasonable delays.

Recommended Availability Impact Level: The provisional availability impact level recommended for public resources, facilities, and infrastructure management information is low.

D.22.4 Information Infrastructure Management Information Type

Information Infrastructure Management involves the management and stewardship of a type of information by the Federal Government and/or the creation of physical communication infrastructures on behalf of the public in order to facilitate communication. This includes the management of large amounts of information (e.g., environmental and weather data, criminal records, etc.), the creation of information and data standards relating to a specific type of information (patient records), and the creation and management of physical communication infrastructures (networks) on behalf of the public.

Note: Information infrastructures for government use are not included in this information type because the impact levels associated with information infrastructure maintenance information are primarily a function of the information processed in that infrastructure. The recommended provisional security categorization for the information infrastructure maintenance information type is as follows:

Security Category = {(confidentiality, Low), (integrity, Low), (availability, Low)}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of information infrastructure maintenance information on the ability of responsible agencies to manage a type of information and/or to create physical communication infrastructures on behalf of the public in order to facilitate communication. The disclosure of most information infrastructure maintenance information can be expected to result in a limited adverse effect on agency operations, assets, or individuals.
Special Factors Affecting Confidentiality Impact Determination: In some cases, information infrastructure maintenance details can be of use to terrorists or other criminals who seek to destroy government data bases or communications infrastructures, or deny access to information needed by the public. Unauthorized disclosure of some information infrastructure maintenance details to criminals can result in danger to critical infrastructures, key national assets, or human life. In such cases, the confidentiality impact can be high. In other cases, premature unauthorized disclosure of management information can give an unfair competitive advantage to a commercial interest (e.g., proposed outsourcing of system administration or details of a proposes communications system acquisition). This can result in assignment of a moderate impact level to such information.

**Recommended Confidentiality Impact Level:** The provisional confidentiality impact level recommended for information infrastructure maintenance information is low.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. That is, the consequences of unauthorized modification or destruction of information infrastructure maintenance information typically depend on the criticality of the data processed by the infrastructure and whether this data is time-critical. In most cases, the data will not be urgently needed or acted upon immediately.

Special Factors Affecting Integrity Impact Determination: In a relatively few cases, the consequences of unauthorized modification or destruction of information infrastructure maintenance information might result in serious damage to agency operations, assets, or human safety. This may require a moderate or high integrity impact level for information infrastructure maintenance information.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for information infrastructure maintenance information is low.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to information infrastructure maintenance information. Disruption of access to information infrastructure maintenance information or information systems will typically result in denial of access to resources for all affected agencies. Typically, disruption of access will have a limited adverse effect on agency operations (including mission functions and public confidence in the agency), agency assets, or individuals.

Special Factors Affecting Availability Impact Determination: Exceptions may include emergency response aspects of disaster management or other time critical functions (e.g., some systems that support air traffic control functions). The availability impact level associated with unauthorized modification or destruction of information infrastructure maintenance information needed to respond to emergencies or critical to public safety may be high.
Recommended Availability Impact Level: The provisional availability impact level recommended for information infrastructure maintenance information is low.

D.23 Federal Financial Assistance

Federal Financial Assistance is the provision of earned and unearned financial or monetary-like benefits to individuals, groups, or corporations.

D.23.1 Federal Grants (Non-State) Information Type

Federal Grants involve the disbursement of funds by the Federal Government to a non-Federal entity to help fund projects or activities. This includes the processes associated with grant administration, including the publication of funds availability notices, development of the grant application guidance, determination of grantee eligibility, coordination of the peer review/evaluation process for competitive grants, the transfer of funds, and the monitoring/oversight as appropriate. The recommended provisional security categorization for the federal grants information type is as follows:

Security Category = \{(confidentiality, Low), (integrity, Low), (availability, Low)\}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of federal grants information on the ability of responsible agencies to disburse funds to non-Federal entities to fund projects or activities. Typically, unauthorized disclosure of federal grants information will have only a limited adverse effect on agency operations, assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: In a few cases, records associated with grants may include information subject to privacy restrictions (e.g., the Privacy Act of 1974). The Privacy Act Information provisional impact levels are documented in the Personal Identity and Authentication information type. In many cases, premature and unauthorized disclosure can affect the integrity of the grants process, giving an unfair competitive advantage to one or more applicants. In such cases, punitive consequences and/or loss of public confidence can have a seriously disruptive effect on an agency’s operations and mission. In such cases, the confidentiality impact level would be moderate.

In some cases, federal grants information might be moderate to high impact. Also, details of programs for which grants are awarded may be sensitive (e.g., research grants for weapons systems project activities). Some federal grants information and some grant program details may be classified and outside the scope of this guideline.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for federal grants information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. Federal grants
activities are not generally time-critical and multiple individuals in multiple organizations are usually involved in the grants process. Therefore, the information maintained by all the individuals/agencies may be necessary to alter a grants decision. In most cases, the adverse effects of unauthorized modification or destruction of federal grants information on agency mission functions or public confidence in the agency is limited.

Special Factors Affecting Integrity Impact Determination: There are significant differences between the ability to modify a document authorizing a payment and the modification of the payment itself. The unauthorized modification of a document authorizing a payment is less time critical than the modification of the payment itself while the payment is in transit. Modifications to payments in transit will result in immediate inaccurate payments. This can result in assignment of a moderate impact level to such information.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for federal grants information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to federal grants information. Federal grants processes are generally tolerant of delay. In most cases, disruption of access to federal grants information can be expected to have only a limited adverse effect on agency operations, agency assets, or individuals.

Recommended Availability Impact Level: The provisional availability impact level recommended for federal grants information is low.

D.23.2 Direct Transfers to Individuals Information Type

Direct Transfers to Individuals involves the disbursement of funds from the Federal Government directly to beneficiaries (individuals or organizations) who satisfy Federal eligibility requirements with no restrictions imposed on the recipient as to how the money is spent. Direct Transfers include both earned and unearned Federal Entitlement programs such as Medicare, Social Security, unemployment benefits, etc. The recommended provisional security categorization for the direct transfers to individuals information type is as follows:

Security Category = {confidentiality, Low}, (integrity, Low), (availability, Low)}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of direct transfers to individuals information on the ability of responsible agencies to disburse funds from the Federal Government directly to beneficiaries (individuals or organizations) who satisfy Federal eligibility requirements with no restrictions imposed on the recipient as to how the money is spent. In the majority of cases, unauthorized disclosure of direct transfers to individuals will have only a limited adverse effect on agency operations, assets, or individuals.
Special Factors Affecting Confidentiality Impact Determination: Many of the records associated with the disbursements may include information subject to privacy restrictions (e.g., the Privacy Act of 1974, HIPAA of 1996). (The Privacy Act Information provisional impact levels are documented in the Personal Identity and Authentication information type.) In such cases, punitive consequences and/or loss of public confidence can have a seriously disruptive effect on an agency’s operations and mission. The consequent confidentiality impact level could be *moderate*.

Recommended Confidentiality Impact Level: Therefore, the provisional confidentiality impact level recommended for direct transfers to individuals is *low*.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. Federal disbursement activities are not generally time-critical. In most cases, the monetary amounts involved are not large (on a governmental budgetary scale). Also, the adverse effects of unauthorized modification or destruction of direct transfers to individuals on agency mission functions or public confidence in the agency will be limited.

Special Factors Affecting Integrity Impact Determination: There are significant differences between the ability to modify a document authorizing a payment and the modification of the payment itself. The unauthorized modification of a document authorizing a payment is less time critical than the modification of the payment itself while the payment is in transit. Modifications to payments in transit will result in *immediate* inaccurate payments. This can result in assignment of a *moderate* impact level to such information.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for direct transfers to individuals is *low*.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to direct transfers to individuals information. Federal disbursement processes are generally tolerant of delay. In most cases, disruption of access to information regarding direct transfers to individuals can be expected to have only a limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Availability Impact Determination: Disruption of disbursements to large populations can do serious harm to public confidence in the agency and have a harmful impact on the nation’s economy (e.g., affect consumer confidents and retail sales for a month or quarter). In such cases, the availability impact would be *moderate*.

Recommended Availability Impact Level: The provisional availability impact level recommended for direct transfers to individuals is *low*. 
D.23.3 Subsidies Information Type

Subsidies involve Federal Government financial transfers that reduce costs and/or increase revenues of producers. Subsidies include the payment of funds from the government to affect the production or prices of various goods to benefit the public. The recommended provisional security categorization for the subsidies information type is as follows:

\[
\text{Security Category} = \{(\text{confidentiality, Low}), (\text{integrity, Low}), (\text{availability, Low})\}
\]

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of subsidies information on the ability of responsible agencies to pay government funds to affect the production or prices of various goods to benefit the public. In many cases, unauthorized disclosure of subsidies information will have only a limited adverse effect on agency operations, assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: Some information associated with applications for subsidies includes information covered by the provisions of the Privacy Act of 1974. (The Privacy Act Information provisional impact levels are documented in the Personal Identity and Authentication information type.) Unauthorized disclosure of large volumes of information protected under the Privacy Act can be expected to have a serious effect on public confidence in the agency. Also, premature unauthorized disclosure of planned subsidies policies can affect financial/commodities markets, with associated potential adverse effects on the U.S. economy and serious adverse effects on public confidence in the agency. This can result in assignment of a moderate impact level to such information.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for most subsidies information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. Subsidies activities are not typically time-critical. In most cases, the adverse effects of unauthorized modification or destruction of subsidies information on agency mission functions, image or public confidence in the agency will be limited.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for subsidies information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to subsidies information. Subsidies processes are generally tolerant of delay. In most cases, disruption of access to subsidies information can be expected to have only a limited adverse effect on agency operations, agency assets, or individuals.
Recommended Availability Impact Level: The provisional availability impact level recommended for subsidies information is low.

D.23.4 Tax Credits Information Type

Tax Credits allow a special exclusion, exemption, or deduction from gross income or which provide a special credit, a preferential rate of tax, or a deferral of tax liability designed to encourage certain kinds of activities or to aid taxpayers in special circumstances. The recommended provisional security categorization for the tax credits information type is as follows:

Security Category = {(confidentiality, Moderate), (integrity, Low), (availability, Low)}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of tax credit information on the ability of responsible agencies to allow special exclusions, exemptions, or deductions from gross income or which provide special credits, a preferential rate of tax, or a deferral of tax liability designed to encourage certain kinds of activities or to aid taxpayers in special circumstances. Many of the records associated with disbursements may include information subject to privacy restrictions (e.g., the Privacy Act of 1974, the Internal Revenue Code and Manual, or the Economic Espionage Act). (The provisional impact levels for personnel information are documented in the Personal Identity and Authentication, Income, Representative Payee, and Entitlement Event information types.) In such cases, punitive consequences and/or loss of public confidence can have a seriously disruptive effect on an agency’s operations and mission. In many cases, unauthorized disclosure of tax credit information can have a serious adverse effect on agency operations, assets, or individuals.

Recommended Availability Impact Level: The provisional confidentiality impact level recommended for tax credit information is moderate.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. Tax credits are not generally time-critical. In most cases, the adverse effects of unauthorized modification or destruction of tax credits on agency mission functions or public confidence in the agency will be limited.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for tax credits is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to tax credits information. Taxation processes are generally tolerant of delay. In most cases, disruption of access to tax credit information can be expected to have only a limited adverse effect on agency operations, agency assets, or individuals.
Recommended Availability Impact Level: The provisional availability impact level recommended for
tax credit information is low.

D.24 Credit and Insurance

Credit and Insurance involves the use of government funds to cover the subsidy cost of a direct
loan or loan guarantee or to protect/indemnify members of the public from financial losses.

D.24.1 Direct Loans Information Type

Direct loans involve a disbursement of funds by the Government to a non-Federal borrower
under a contract that requires the repayment of such funds with or without interest. The
recommended provisional security categorization for the direct loan information type is as
follows:

Security Category = {(confidentiality, Low), (integrity, Low), (availability, Low)}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of direct loan
information on the ability of responsible agencies to disburse Federal funds to non-Federal
borrowers under contract terms that require the repayment of such funds with or without interest.
Much direct loan information includes information covered by the provisions of the Privacy Act
of 1974. (The Privacy Act Information provisional impact levels are documented in the Personal
Identity and Authentication information type.) In most cases, unauthorized disclosure of direct
loan information will have only a limited adverse effect on agency operations, assets, or
individuals.

Special Factors Affecting Confidentiality Impact Determination: Unauthorized disclosure of large
volumes of information protected under the Privacy Act can be expected to have a serious to
severe effect on public confidence in the agency. In such cases, the confidentiality impact can be
moderate.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level
recommended for direct loan information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission,
not on the time required to detect the modification or destruction of information. Loan assistance
activities are not generally time-critical. In most cases, the adverse effects of unauthorized
modification or destruction of direct loan information on agency mission functions and public
confidence in the agency will be limited.

Special Factors Affecting Integrity Impact Determination: There are significant differences between
the ability to modify a document authorizing a payment and the modification of the payment
itself. The unauthorized modification of a document authorizing a payment is less time critical
than the modification of the payment itself while the payment is in transit. Modifications to payments in transit will result in immediate inaccurate payments. This can result in assignment of a moderate impact level to such information.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for direct loan information is *low*.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to direct loan information. Loan assistance processes are generally tolerant of delay. In most cases, disruption of access to direct loan information can be expected to have only a limited adverse effect on agency operations, agency assets, or individuals.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for direct loan information is *low*.

### D.24.2 Loan Guarantees Information Type

Loan guarantees involve any guarantee, insurance, or other pledge with respect to the payment of all or a part of the principal or interest on any debt obligation of a non-Federal borrower to a non-Federal lender, but does not include the insurance of deposits, shares, or other withdrawable accounts in financial institutions. The general recommended security categorization for the loan guarantees information type is as follows:

**Security Category** = \{(confidentiality, Low), (integrity, Low), (availability, Low)\}

**Confidentiality**

The confidentiality impact level is the effect of unauthorized disclosure of loan guarantee information on the ability of responsible agencies to execute guarantees, insurance, or other pledges with respect to the payment of all or a part of the principal or interest on any debt obligation of a non-Federal borrower to a non-Federal lender. In most cases, unauthorized disclosure of loan guarantee information will have only a limited adverse effect on agency operations, assets, or individuals.

**Special Factors Affecting Confidentiality Impact Determination:** Much loan guarantee information includes information covered by the provisions of the Privacy Act of 1974. (The Privacy Act Information provisional impact levels are documented in the Personal Identity and Authentication information type.) Unauthorized disclosure of large volumes of information protected under the Privacy Act can be expected to have a serious to severe effect on public confidence in the agency. In such cases, the confidentiality impact can be *moderate*.

**Recommended Confidentiality Impact Level:** The provisional confidentiality impact level recommended for loan guarantee information is *low*.
Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. Loan guarantee activities are not generally time-critical. In most cases, the adverse effects of unauthorized modification or destruction of loan guarantee information on agency mission functions and public confidence in the agency will be limited.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for loan guarantee information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to loan guarantee information. Loan processes are generally tolerant of delay. In most cases, disruption of access to loan guarantee information will have only a limited adverse effect on agency operations, agency assets, or individuals.

Special Factors Affecting Availability Impact Determination: The provisional availability impact level recommended for loan guarantee information is low.

D.24.3 General Insurance Information Type

General Insurance involves providing protection to individuals or entities against specified risks. The specified protection generally involves risks that private sector entities are unable or unwilling to assume or subsidize and where the provision of insurance is necessary to achieve social objectives. The following provisional security categorization is recommended for the general insurance information type:

Security Category = {(confidentiality, Low), (integrity, Low), (availability, Low)}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of general insurance information on the abilities of responsible agencies to provide protection to individuals or entities against specified risks. General insurance activities include both insurance issuing and insurance servicing. Insurance issuing is any activity such as provider approval, underwriting, and endorsements. The consequences of unauthorized disclosure of insurance issuing information will generally result in a limited adverse effect on agency operations, agency assets, or individuals.

Insurance servicing supports activities associated with administering and processing insurance include payment processing, initial and final closings, loss mitigation, claims management, and retiring insurance. The confidentiality impact level is the effect of unauthorized disclosure of insurance servicing information on the abilities of responsible agencies to administer and process insurance. The consequences of unauthorized disclosure of insurance servicing information will generally result in a limited adverse effect on agency operations, agency assets, or individuals.
Special Factors Affecting Confidentiality Impact Determination: The more serious consequences may result from 1) unauthorized disclosure of provider’s proprietary information, or 2) premature disclosure of agency plans or changes under consideration for contracts, plans, or policies. Unauthorized disclosure of information that can affect contract arrangements to the detriment of the interests of the government, and of the public at large (e.g., planned or anticipated termination of a major contract insurer), can result in damaging increases in public expense and exposure to impact. In the case of unauthorized disclosure to an individual private sector organization, unfair competitive advantage may result – with major financial consequences. In the case of unauthorized disclosure of preliminary and unsubstantiated data that is both incorrect and pessimistic (e.g., Medicare budget projections,), the consequent unwarranted alarm of the public may have serious political and operational consequences for affected agencies. In the more serious cases, the confidentiality impact will be at least moderate.

The more serious consequences of unauthorized disclosure of insurance servicing information may result from unauthorized disclosure of private information concerning the insured (e.g., Privacy Act information). (The Privacy Act Information provisional impact levels are documented in the Personal Identity and Authentication information type.) In the more serious cases, the confidentiality impact will be at least moderate.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for general insurance information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. The consequences of unauthorized modification or destruction of general insurance information may depend on the urgency with which the information is typically needed. Unauthorized modification or destruction of information affecting external communications (e.g., web pages, electronic mail) typically has a limited adverse effect on agency operations and/or public confidence in the agency.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for general insurance information is low.

Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to general insurance information. The nature of general insurance processes is usually tolerant of reasonable delays.

Special Factors Affecting Availability Impact Determination: Extensive delays in insurance servicing activities can result in financial harm for individuals and businesses and in public alarm and repercussions in the financial markets. In more serious cases, delays may have serious political and operational consequences for affected agencies. In such cases, the confidentiality impact may be at least moderate.
Recommended Availability Impact Level: The provisional availability impact level recommended for general insurance information is low.

D.25 Transfers to State/Local Governments

Transfers to States and Local Governments involve the transfer of funds or financial assistance from the Federal government to State and Local governments and Indian tribes.

D.25.1 Formula Grants Information Type

Formula Grants involves the allocation of money to States or their subdivisions in accordance with distribution formulas prescribed by law or administrative regulation, for activities of a continuing nature. The recommended provisional security categorization for the formula grants information type is as follows:

Security Category = \{(confidentiality, Low), (integrity, Low), (availability, Low)\}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of formula grants information on the ability of responsible agencies to allocate money to States or their subdivisions in accordance with distribution formulas prescribed by law or administrative regulation, for activities of a continuing nature. Typically, unauthorized disclosure of most formula grants information will have only a limited adverse effect on agency operations, assets, or individuals. In most cases, information associated with formula grants is public knowledge.

Special Factors Affecting Confidentiality Impact Determination: In a few cases, details of programs for which formula grants are awarded may be sensitive (e.g., some Federal/State cooperative programs intended to support Homeland Security operations). This can result in assignment of a moderate or high impact level to such information. Some formula grants information might be classified (hence outside the scope of this guideline).

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for formula grants information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. Formula grants activities are not generally time-critical and multiple individuals in multiple organizations are usually involved in the grants process. Therefore, the information maintained by all the individuals/agencies is probably necessary to alter a grants decision. In most cases, the adverse effects of unauthorized modification or destruction of formula grants information on agency mission functions or public confidence in the agency will be limited.

Recommended Integrity Impact Level: The provisional integrity impact level recommended for formula grants information is low.
Availability

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to formula grants information. Formula grants processes are generally tolerant of delay. In most cases, disruption of access to formula grants information can be expected to have only a limited adverse effect on agency operations, agency assets, or individuals.

Recommended Availability Impact Level: The provisional availability impact level recommended for formula grants information is low.

D.25.2 Project/Competitive Grants Information Type

Project/Competitive Grants involves the funding, for fixed or known periods, of projects. Project/Competitive grants can include fellowships, scholarships, research grants, training grants, traineeships, experimental and demonstration grants, evaluation grants, planning grants, technical assistance grants, survey grants, and construction grants. The general recommended security categorization for the project/competitive grants information type is as follows:

Security Category = {{confidentiality, Low}, (integrity, Low), (availability, Low}}

Confidentiality

The confidentiality impact level is the effect of unauthorized disclosure of project/competitive grants information on the ability of responsible agencies to award fellowships, scholarships, research grants, training grants, traineeships, experimental and demonstration grants, evaluation grants, planning grants, technical assistance grants, survey grants, and/or construction grants. In most cases, unauthorized disclosure of project/competitive grants information will have only a limited adverse effect on agency operations, assets, or individuals.

Special Factors Affecting Confidentiality Impact Determination: In some cases, project/competitive grants information may be sensitive with moderate to high impact. In a few cases, details of programs for which grants are awarded may be classified and outside the scope of this guideline.

In a few cases, records associated with the grants may include information subject to privacy restrictions (e.g., the Privacy Act of 1974). (The Privacy Act Information provisional impact levels are documented in the Personal Identity and Authentication information type.) In many cases, premature and unauthorized disclosure can affect the integrity of the grants process, giving an unfair competitive advantage to one or more applicants. In such cases, punitive consequences and/or loss of public confidence can have a seriously disruptive effect on an agency’s operations and mission. In such cases, the confidentiality impact level would be moderate.

Recommended Confidentiality Impact Level: The provisional confidentiality impact level recommended for most project/competitive grants information is low.

Integrity

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information.
Project/competitive grants activities are not generally time-critical. In most cases, the adverse effects of unauthorized modification or destruction of project/competitive grants information on agency mission functions or public confidence in the agency will be limited.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for project/competitive grants information is *low*.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to project/competitive grants information. Project/competitive grants processes are generally tolerant of delay. In most cases, disruption of access to project/competitive grants information can be expected to have only a limited adverse effect on agency operations, agency assets, or individuals.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for project/competitive grants information is *low*.

### D.25.3 Earmarked Grants Information Type

Earmarked Grants involves the distribution of money to State and Local Governments for a named purpose or service usually specifically noted by Congress in appropriations language, or other program authorizing language. The recommended provisional security categorization for the earmarked grants information type is as follows:

$$\text{Security Category} = \{(\text{confidentiality, Low}), (\text{integrity, Low}), (\text{availability, Low})\}$$

**Confidentiality**

The confidentiality impact level is the effect of unauthorized disclosure of earmarked grants information on the ability of responsible Federal government entities to distribute money to State and Local Governments for a named purpose or service usually specifically noted by Congress in appropriations language, or other program authorizing language. In the majority of cases, earmarked grants information is public knowledge. Typically, unauthorized disclosure of most earmarked grants information will have only a limited adverse effect on agency operations, assets, or individuals.

**Special Factors Affecting Confidentiality Impact Determination:** In some cases, project/competitive grants information may be sensitive with *moderate to high* impact. In a few cases, details of programs for which grants are awarded may be classified and outside the scope of this guideline.

**Recommended Confidentiality Impact Level:** The provisional confidentiality impact level recommended for earmarked grants information is *low*.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. Earmarked grants information...
grants activities are not generally time-critical and multiple individuals in multiple organizations are usually involved in the grants process. Therefore, the information maintained by all the individuals/agencies is probably necessary to alter a grants decision. In most cases, the adverse effects of unauthorized modification or destruction of earmarked grants information on agency mission functions or public confidence in the agency will be limited.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for earmarked grants information is *low*.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to earmarked grants information. Earmarked grants processes are generally tolerant of delay. In most cases, disruption of access to earmarked grants information will have only a limited adverse effect on agency operations, agency assets, or individuals.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for earmarked grants information is *low*.

### D.25.4 State Loans Information Type

State Loans involve all disbursement of funds by the Government to a State or Local Government (or Indian Tribe) entity under a contract that requires the repayment of such funds with or without interest. The recommended provisional security categorization for the state loan information type is as follows:

\[
\text{Security Category} = \{(\text{confidentiality, Low}), (\text{integrity, Low}), (\text{availability, Low})\}
\]

**Confidentiality**

The confidentiality impact level is the effect of unauthorized disclosure of state loan information on the ability of responsible agencies to disburse Federal funds a State or Local Government (or Indian Tribe) entity under a contract that requires the repayment of such funds with or without interest. In most cases, unauthorized disclosure of state loan information will have only a limited adverse effect on agency operations, assets, or individuals.

**Recommended Confidentiality Impact Level:** The provisional confidentiality impact level recommended for state loan information is *low*.

**Integrity**

The integrity impact level is based on the specific mission and the data supporting that mission, not on the time required to detect the modification or destruction of information. Loan assistance activities are not generally time-critical. In most cases, the adverse effects of unauthorized modification or destruction of state loan information on agency mission functions and public confidence in the agency will be limited.
Special Factors Affecting Integrity Impact Determination: There are significant differences between the ability to modify a document authorizing a payment and the modification of the payment itself. The unauthorized modification of a document authorizing a payment is less time critical than the modification of the payment itself while the payment is in transit. Modifications to payments in transit will result in immediate inaccurate payments. This can result in assignment of a moderate impact level to such information.

**Recommended Integrity Impact Level:** The provisional integrity impact level recommended for state loan information is *low*.

**Availability**

The availability impact level is based on the specific mission and the data supporting that mission, not on the time required to re-establish access to state loan information. Loan assistance processes are generally tolerant of delay. In most cases, disruption of access to state loan information can be expected to have only a limited adverse effect on agency operations, agency assets, or individuals.

**Recommended Availability Impact Level:** The provisional availability impact level recommended for state loan information is *low*. 
APPENDIX E: LEGISLATIVE AND EXECUTIVE SOURCES ESTABLISHING SENSITIVITY/CRITICALITY

Some information has been established in law, by Executive Order, or by agency regulation as requiring protection from disclosure. Those information types that are national security information are outside the scope of this guideline. Each individual responsible for security categorization of an organization’s information or information system should search his own department or agency’s regulations for specific information protection requirements.

E.1 Legislative Mandates

Some legislatively mandated prohibitions against disclosure of information (other than national security information) are identified in Table 6. The table gives the title or subject of the section in the United States Code (U.S.C.) in which the prohibition occurs, the U.S.C. citation for the prohibition, and the Department, agency, or generic information type to which the law applies, and the legal source. Note that the information contained in the table is intended only as an aid and will not always be current. Independent law searches by analysts will generally be necessary.

Table 6: Legal Information Disclosure Prohibitions

<table>
<thead>
<tr>
<th>Subject/Title of Provision</th>
<th>United States Code Citation</th>
<th>Agency/Activity [Reference]</th>
</tr>
</thead>
</table>
| Access to Information; Confidentiality         | 22 U.S.C., Chapter 46A, Section 3144 | Foreign Direct Investment in United States  
| Access to Records                              | 42 U.S.C., Chapter 114, Subchapter I, Part A, Section 10806 | Department of Health and Human Services/Public Health Service  
| Administrative Enforcement; Preliminary Matters | 42 U.S.C., Chapter 45, Subchapter I, Section 3610 | Housing and Urban Development  
[Public Law 90-284, title VIII, Sec. 810, as added Public Law 100-430, Sec. 8(2), Sept. 13, 1988, 102 Stat. 1625] |
### Table 6: Legal Information Disclosure Prohibitions

<table>
<thead>
<tr>
<th>Subject/Title of Provision</th>
<th>United States Code Citation</th>
<th>Agency/Activity [Reference]</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assessments (Confidential Nature)</td>
<td>7 U.S.C., Chapter 58, Section 2619(c)</td>
<td>Department of Agriculture/National Potato Promotion Board [Potato Research and Promotion Act, Public Law 91-670, Title III, Sec. 310, Jan. 11, 1971, 84 Stat. 2044; amended</td>
</tr>
<tr>
<td>Subject/Title of Provision</td>
<td>United States Code Citation</td>
<td>Agency/Activity [Reference]</td>
</tr>
<tr>
<td>---------------------------</td>
<td>-----------------------------</td>
<td>----------------------------</td>
</tr>
<tr>
<td>Books and Records</td>
<td>7 U.S.C., Chapter 26, Subchapter III, Section 608d</td>
<td>Department of Agriculture [Agricultural Adjustment Act, May 12, 1933, Ch. 25, Title I, Sec. 8d, as added to by the Miller Act of Aug. 24, 1935, Ch. 641, Sec. 6, 49 Stat. 761; and amended by the Agricultural Marketing Agreement Act of 1937, June 3, 1937, Ch. 296, Sec. 1, 50 Stat. 246; the Food Security Act of 1985 Public Law 99-198, Title XVI, Sec. 1663, Dec. 23, 1985, 99 Stat. 1631; and the Livestock Mandatory Reporting Act of 1999, Public Law 106-78, Title VII, Sec. 757(b), Oct. 22, 1999, 113 Stat.]</td>
</tr>
<tr>
<td>Subject/Title of Provision</td>
<td>United States Code Citation</td>
<td>Agency/Activity [Reference]</td>
</tr>
<tr>
<td>---------------------------</td>
<td>-----------------------------</td>
<td>-----------------------------</td>
</tr>
<tr>
<td><strong>Chronic Hazard Advisory Panels – Information Disclosure</strong></td>
<td>15 U.S.C., Chapter 47, Section 2077(g) and (h)</td>
<td>Consumer Product Safety Commission [Consumer Product Safety Act of 1972, Public Law 92-573, Sec. 28, as added to by Public Law 97-35, Title XII, Sec. 1206(a), Aug. 13, 1981, 95 Stat. 716]</td>
</tr>
<tr>
<td><strong>Collection of Assessments; Refunds Confidentiality of Information; Disclosures</strong></td>
<td>7 U.S.C., Chapter 77, Section 4608 (f)(3) and (g)</td>
<td>Department of Agriculture/ Honey Board [Agricultural Research, Extension, and Education</td>
</tr>
<tr>
<td>Subject/Title of Provision</td>
<td>United States Code Citation</td>
<td>Agency/Activity [Reference]</td>
</tr>
<tr>
<td>----------------------------</td>
<td>-----------------------------</td>
<td>-----------------------------</td>
</tr>
<tr>
<td>Reauthorization Act of 1998, Public Law 105-185, Title VI, Sec. 605(h), June 23, 1998, 112 Stat. 597</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Confidential Information</td>
<td>12 U.S.C., Chapter 6A, Subchapter I, Section 635i-3(g)(3)</td>
<td>Treasury Department/ Bank of the Tied Aid Credit Fund [Export-Import Bank Act of 1945, July 31, 1945, Ch. 341, Sec. 10, formerly Sec. 15, as added to by the Export-Import Bank Act Amendments of 1986, Public Law 99-472, Sec. 19, Oct. 15, 1986, 100 Stat. 1205]</td>
</tr>
<tr>
<td>Confidential Information</td>
<td>21 U.S.C., Chapter 9, Subchapter VII, Part A, Section 379</td>
<td>Department of Health and Human Services [Fair Labor Standards Act, June 25, 1938, Ch. 675, Sec. 708, as added to by Medical Device Amendments, Public Law 94-295, Sec. 8, May 28, 1976, 90 Stat. 582]</td>
</tr>
<tr>
<td>Confidential Information</td>
<td>25 U.S.C., Chapter 29, Section 2716(a)</td>
<td>Department of Justice/ Department of the Interior/ Bureau of Indian Affairs/ National Indian Gaming Commission [Indian Gaming Regulatory Act, Public Law 100-497, Sec. 17, Oct. 17, 1988, 102 Stat. 2484]</td>
</tr>
<tr>
<td>Confidential Information</td>
<td>30 U.S.C., Chapter 25, Subchapter V, Section 1262(b)</td>
<td>Environmental Protection Agency [Surface Mining Control and Reclamation Act, Public Law</td>
</tr>
<tr>
<td>Subject/Title of Provision</td>
<td>United States Code Citation</td>
<td>Agency/Activity [Reference]</td>
</tr>
<tr>
<td>----------------------------</td>
<td>-----------------------------</td>
<td>-----------------------------</td>
</tr>
<tr>
<td><strong>Confidential Information; Circumstances Permitting Disclosure</strong></td>
<td>42 U.S.C., Chapter 23, Division A, Subchapter XII, Section 2181(e)</td>
<td>Department of Energy/ Department of Commerce/ Patent Office [Public Law 87-206, Sec. 9]</td>
</tr>
<tr>
<td><strong>Confidential Information; Disclosure</strong></td>
<td>42 U.S.C., Chapter 65, Section 4912(b)</td>
<td>Environmental Protection Agency [Federal Noise Control Act, Public Law 92-574, Sec. 13, Oct. 27, 1972, 86 Stat. 1244]</td>
</tr>
<tr>
<td><strong>Confidential Information; Disclosure Prohibited</strong></td>
<td>12 U.S.C., Chapter 7A, Section 1141j(c)</td>
<td>Treasury Department/ Farm Credit Administration [Agricultural Marketing Act, June 15, 1929, Ch. 24, Sec. 15, 46 Stat. 18]</td>
</tr>
<tr>
<td><strong>Confidential Information; Trade Secrets and Secret Processes; Information Disclosure</strong></td>
<td>42 U.S.C., Chapter 6A, Subchapter XII, Part E, Section 300j-4(d)(1)</td>
<td>Environmental Protection Agency [Safety of Public Water Systems, July 1, 1944, Ch. 373, Title XIV, Sec. 1445]</td>
</tr>
<tr>
<td><strong>Confidential Nature (Forms for registration and fingerprinting)</strong></td>
<td>8 U.S.C., Chapter 12, Subchapter II, Part VII, Section 1304(b)</td>
<td>Department of Justice/ Department of State/ Department of Homeland Security [Immigration and Nationality Act of June 27, 1952, Ch. 477, Title II, Ch. 7, Sec. 264, 66 Stat. 224]</td>
</tr>
<tr>
<td><strong>Confidential Nature of Claims</strong></td>
<td>38 U.S.C., Part IV, Chapter 57, Subchapter I, Section 5701 (Renamed from Section 3301 by Public Law 102-40, Title</td>
<td>Veterans Administration [Title 38 &quot;Veterans Benefits&quot; (Social Security Act §§202 and 217), Pub. L. 85-857, Sept. 2, 1958, 72 Stat. 1236, Sec. 3301;]</td>
</tr>
<tr>
<td>Subject/Title of Provision</td>
<td>United States Code Citation</td>
<td>Agency/Activity [Reference]</td>
</tr>
<tr>
<td>----------------------------------------------------------------</td>
<td>------------------------------------------------------------------------------------------</td>
<td>------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Confidential Nature of Information Furnished Bureau</td>
<td>15 U.S.C., Chapter 5, Section 176a</td>
<td>Department of Commerce/Bureau of Foreign and Domestic Commerce [The Postal Act of 1938, Jan. 27, 1938, Ch. 11, Sec. 1, 52 Stat. 8]</td>
</tr>
<tr>
<td>Confidential Nature of Records (Visas)</td>
<td>8 U.S.C., Chapter 12, Subchapter II, Part III, Section 1202(f)</td>
<td>Department of State/Department of Homeland Security [Immigration and Nationality Act of June 27, 1952, Ch. 477, Title II, Ch. 7, Sec. 264, 66 Stat. 224]</td>
</tr>
<tr>
<td>Confidential or Privileged Information in an Action Described in 28 U.S.C. Sec. 1581(c)</td>
<td>Title IX, Rule 71, (c)</td>
<td>Department of Commerce/International Trade Commission/Judiciary [Jurisdiction: Tariff Act of 1930]</td>
</tr>
<tr>
<td>Subject/Title of Provision</td>
<td>United States Code Citation</td>
<td>Agency/Activity [Reference]</td>
</tr>
<tr>
<td>-------------------------------------------------</td>
<td>------------------------------------------</td>
<td>--------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Confidential or Privileged Material</td>
<td>19 U.S.C., Chapter 4, Subchapter III, Part III, Section 1516a(b)(2)(B)</td>
<td>Department of Homeland Security/ Treasury Department/ Customs Service [Tariff Act of 1930, June 17, 1930, Ch. 497, Title IV, Sec. 516A, as added to by the Trade Agreements Act of 1979, Public Law 96-39, Title X, Sec. 1001(a), July 26, 1979, 93 Stat. 300]</td>
</tr>
<tr>
<td>Confidential Reports and Other Additional Requirements</td>
<td>Title I, Section 107</td>
<td>Departments and Agencies/Inspectors General</td>
</tr>
<tr>
<td>Subject/Title of Provision</td>
<td>United States Code Citation</td>
<td>Agency/Activity [Reference]</td>
</tr>
<tr>
<td>-------------------------------------------------</td>
<td>---------------------------------------------------------------------------------------------</td>
<td>---------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Confidentiality and Informed Consent</td>
<td>42 U.S.C., Chapter 6A, Subchapter XXIV, Section 300ff-61</td>
<td>Health and Human Services/Public Health Service/Medical [Ryan White Comprehensive AIDS Resources Emergency Act of 1990, Public Law 101-381, Title III, Sec. 301(a), Aug. 18, 1990, 104 Stat. 609]</td>
</tr>
<tr>
<td>Subject/Title of Provision</td>
<td>United States Code Citation</td>
<td>Agency/Activity [Reference]</td>
</tr>
<tr>
<td>---------------------------</td>
<td>-----------------------------</td>
<td>-----------------------------</td>
</tr>
<tr>
<td>Confidentiality of Medical Quality Assurance Records</td>
<td>38 U.S.C., Part IV, Chapter 57, Subchapter I, Section 5705 (Renumbered by Public Law 102-40 from Section 3305)</td>
<td>Department of Veterans Affairs [Veterans’ Disability Compensation and Housing Benefits Amendments of 1980, Public Law 96-385, Title V, Sec.</td>
</tr>
<tr>
<td>Subject/Title of Provision</td>
<td>United States Code Citation</td>
<td>Agency/Activity [Reference]</td>
</tr>
<tr>
<td>--------------------------------------------------------------------------------------------</td>
<td>----------------------------</td>
<td>-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Counterintelligence Access to Telephone Toll and Transactional Records</td>
<td>18 U.S.C., Part I, Chapter 121, Section 2709</td>
<td>Department of Justice/ Federal Bureau of Investigation/Communication Service Providers [Communications Assistance for Law Enforcement Act, Public Law 99-508, Title II, Sec. 201(a)), Oct. 21, 1986, 100 Stat. 1867]</td>
</tr>
<tr>
<td>Critical Infrastructure Information</td>
<td>6 U.S.C., Chapter 1</td>
<td>Department of Homeland Security [Critical Infrastructure Information Protection Act of</td>
</tr>
<tr>
<td>Subject/Title of Provision</td>
<td>United States Code Citation</td>
<td>Agency/Activity [Reference]</td>
</tr>
<tr>
<td>---------------------------</td>
<td>----------------------------</td>
<td>-----------------------------</td>
</tr>
<tr>
<td><strong>Crop Insurance - Purpose; Definitions; Protection of Information; Relation to Other Laws</strong></td>
<td>7 U.S.C., Chapter 36, Section 1502</td>
<td>Department of Agriculture [Agriculture Risk Protection Act of 2000, Public Law 106-224, Title I, Sec. 122, 141, June 20, 2000, 114 Stat. 377, 389]</td>
</tr>
<tr>
<td><strong>Disclosure of Confidential Information Generally</strong></td>
<td>18 U.S.C., Part I, Chapter 93, Section 1905</td>
<td>[Judiciary and Judicial Procedures Act, June 25, 1948, Ch. 645, 62 Stat. 791 as amended by Public Law 96-349, Sec. 7(b), Sept. 12, 1980, 94</td>
</tr>
</tbody>
</table>
Table 6: Legal Information Disclosure Prohibitions

<table>
<thead>
<tr>
<th>Subject&gt;Title of Provision</th>
<th>United States Code Citation</th>
<th>Agency/Activity [Reference]</th>
</tr>
</thead>
<tbody>
<tr>
<td>Disclosure of Information in Possession of Social Security Administration or Department of Health and Human Services</td>
<td>42 U.S.C. Chapter 7, Subchapter XI, Part A, Section 1306</td>
<td>Social Security Administration/Department of Health and Human Services/Public Health Service [Social Security Act of Aug. 14, 1935, Ch. 531, Title XI, Sec. 1106, as added Aug. 10, 1939, Ch. 666, Title VIII, Sec. 802, 53 Stat. 1398 amended Aug. 28, 1950, Ch. 809, Title IV, Sec. 403(d), 64 Stat. 559; Public Law 85-840, Title VII, Sec. 701, Aug. 28, 1958, 72 Stat. 3498]</td>
</tr>
</tbody>
</table>
Table 6: Legal Information Disclosure Prohibitions

<table>
<thead>
<tr>
<th>Subject/Title of Provision</th>
<th>United States Code Citation</th>
<th>Agency/Activity [Reference]</th>
</tr>
</thead>
<tbody>
<tr>
<td>Disclosures to FBI for Counterintelligence Purposes</td>
<td>15 U.S.C., Chapter 41, Subchapter III, Section 1681u</td>
<td>[Fair Credit Reporting Act, Public Law 90-321, Title VI, Sec. 625, formerly Sec. 624, as added to by the Intelligence Authorization Act for Fiscal Year 1996, Public Law 104-93, Title VI, Sec. 601(a), Jan. 6, 1996, 109 Stat. 974; renumbered Sec. 625 and amended by the USA Patriot Act, Public Law 107-56, Title III, Sec. 358(g)(1)(A), Title V, Sec. 505(c), Oct. 26, 2001, 115 Stat. 327, 366]</td>
</tr>
<tr>
<td>Disclosure to Foreign Antitrust Authority of Antitrust Evidence</td>
<td>15 U.S.C., Chapter 88, Section 6201</td>
<td>Department of Justice/Federal Trade Commission [International Antitrust</td>
</tr>
<tr>
<td>Subject/Title of Provision</td>
<td>United States Code Citation</td>
<td>Agency/Activity [Reference]</td>
</tr>
<tr>
<td>---------------------------------------------------------------</td>
<td>-----------------------------</td>
<td>--------------------------------------------------------------------------------------------</td>
</tr>
</tbody>
</table>
## Table 6: Legal Information Disclosure Prohibitions

<table>
<thead>
<tr>
<th>Subject/Title of Provision</th>
<th>United States Code Citation</th>
<th>Agency/Activity [Reference]</th>
</tr>
</thead>
<tbody>
<tr>
<td>Evidence, Procedure, and Certification for Payments</td>
<td>42 U.S.C., Chapter 7, Subchapter II, Section 405</td>
<td>Social Security Numbers [Social Security Act of Aug. 14, 1935, Ch. 531, Title II, Sec. 205, 49 Stat. 624 as amended (e.g., Public Law 93-445 Title III, Sec. 302(a), 303, Oct. 16, 1974, 88 Stat. 1358 and Public Law 101-624, Title XVII, Sec. 1735(a), (b), Title XXII, Sec. 2201(b), (c), Nov. 28, 1990, 104 Stat. 3791, 3792, 3951, 3952)]</td>
</tr>
<tr>
<td>Table 6: Legal Information Disclosure Prohibitions</td>
<td></td>
<td></td>
</tr>
<tr>
<td>------------------------------------------------</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Subject/Title of Provision</strong></td>
<td><strong>United States Code Citation</strong></td>
<td><strong>Agency/Activity [Reference]</strong></td>
</tr>
<tr>
<td>---------------------------------</td>
<td>---------------------------------</td>
<td>---------------------------------</td>
</tr>
<tr>
<td>Subject/Title of Provision</td>
<td>United States Code Citation</td>
<td>Agency/Activity [Reference]</td>
</tr>
<tr>
<td>---------------------------------------------------------------</td>
<td>-----------------------------</td>
<td>-----------------------------</td>
</tr>
<tr>
<td><strong>Fund for Rural America</strong></td>
<td>7 U.S.C., Chapter 55, Section 2204f(c)(1)(D)</td>
<td>Department of Agriculture, Treasury Department [Federal Agriculture Improvement and Reform Act of 1996, Public Law 104-127, Title VII, Sec. 793, Apr. 4, 1996, 110 Stat. 1152]</td>
</tr>
<tr>
<td><strong>General Provisions Governing Discovery</strong></td>
<td>Title V, Depositions and Discovery, Rule 26 (a)(1)(E) and (c)</td>
<td>International Trade Courts [Rules and Forms of the U.S. Court of International Trade, Title V, Rule 26]</td>
</tr>
<tr>
<td><strong>General Rules Regarding Provision of Assistance</strong></td>
<td>7 U.S.C., Chapter 88, Subchapter VI, Section 5906(d)</td>
<td>Department of Agriculture/Alternative Agricultural Research and Commercialization Corporation [Food, Agriculture, Conservation, and Trade Act of]</td>
</tr>
</tbody>
</table>
### Table 6: Legal Information Disclosure Prohibitions

<table>
<thead>
<tr>
<th>Subject/Title of Provision</th>
<th>United States Code Citation</th>
<th>Agency/Activity [Reference]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Information Collection</strong></td>
<td>16 U.S.C., Chapter 38, Subchapter V, Section 1881a</td>
<td>Department of Commerce [Fisheries [Interim Fisheries Zone Extension and Management Act, Public Law 94-265, Title IV, Sec. 402, as added to by the Fisheries Financing Act of1996, Public Law 104-297, Title II, Sec. 203, Oct. 11, 1996, 110 Stat. 3607]</td>
</tr>
<tr>
<td>Subject/Title of Provision</td>
<td>United States Code Citation</td>
<td>Agency/Activity [Reference]</td>
</tr>
<tr>
<td>------------------------------------------------------------------------------------------</td>
<td>------------------------------------</td>
<td>----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Interagency Data Sharing</td>
<td>12 U.S.C., Chapter 16, Section 1828b</td>
<td>Treasury Department (Gramm-Leach-Bliley Act, Public Law 106-102, Title I, Sec. 132, Nov. 12, 1999, 113 Stat. 1382)</td>
</tr>
</tbody>
</table>
Table 6: Legal Information Disclosure Prohibitions

<table>
<thead>
<tr>
<th>Subject/Title of Provision</th>
<th>United States Code Citation</th>
<th>Agency/Activity [Reference]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Miscellaneous Provisions</strong></td>
<td>12 U.S.C., Chapter 7A, Section 1141j</td>
<td>Farm Credit Administration/Treasury Department</td>
</tr>
<tr>
<td>Subject/Title of Provision</td>
<td>United States Code Citation</td>
<td>Agency/Activity [Reference]</td>
</tr>
<tr>
<td>------------------------------------------------</td>
<td>----------------------------</td>
<td>----------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
</tbody>
</table>
| National Program of Cancer Registries           | 42 U.S.C., Chapter 6A, Subchapter II, Part M, Section 280e | Department of Health and Human Services/Public Health Service  
[Public Health Service Act of July 1, 1944, Ch. 373, Title III, Sec. 399B, formerly Sec. 399H, as added Public Law 102-515, Sec. 3, Oct. 24, 1992, 106 Stat. 3372  
| Noncombatant Assistance to United Nations       | 22 U.S.C., Chapter 7, Section 287d-1(d) | State Department  
[United Nations Participation Act of 1945, Dec. 20, 1945, ch. 583, Sec. 7, as added Oct. 10, 1949, Ch. 660, Sec. 5, 63 Stat. 735] |
| Notice of Defendant's Intention to Disclose Classified Information | 18 U.S.C., Unlawful Possession or Receipt of Fire Arms, Section 1201 to 1203, Interstate Agreement on Detainers, Sec. 5 | Courts  
| Obligation to Make Royalty Payments             | 17 U.S.C., Chapter 10, Subchapter C, Section 1003(c)(2) | Department of Commerce  
| Obligations With Respect to Disclosures of Personal Information | 15 U.S.C., Chapter 94, Subchapter I, Section 6802 | Financial  
| Patents and Technical Information               | 22 U.S.C., Chapter 32, Subchapter III, Part I, Section 2356 | Department of State  
[Department of Defense  
<table>
<thead>
<tr>
<th>Subject/Title of Provision</th>
<th>United States Code Citation</th>
<th>Agency/Activity [Reference]</th>
</tr>
</thead>
<tbody>
<tr>
<td>Paul D. Coverdell Drug-Free Workplace Program</td>
<td>15 U.S.C., Chapter 14A, Section 654(c)</td>
<td>Medical Information [Small Business Act, Public Law 85-536, Sec. 2(27), as added to by the Small Business Administration Reauthorization and Amendments Act of 1990, Public Law 101-574, Title III, Sec. 310, Nov. 15, 1990, 104 Stat. 2831]</td>
</tr>
<tr>
<td>Subject/Title of Provision</td>
<td>United States Code Citation</td>
<td>Agency/Activity [Reference]</td>
</tr>
<tr>
<td>---------------------------</td>
<td>-----------------------------</td>
<td>-----------------------------</td>
</tr>
<tr>
<td>Program Requirements</td>
<td>42 U.S.C., Chapter 13, Section 1758</td>
<td>Department of Agriculture/ Public Health Service [Better Nutrition and Health for Children Act of 1994, Public Law 103-448, Sec. 108]</td>
</tr>
<tr>
<td>Subject/Title of Provision</td>
<td>United States Code Citation</td>
<td>Agency/Activity [Reference]</td>
</tr>
<tr>
<td>---------------------------------------------------------------</td>
<td>-----------------------------</td>
<td>-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td><strong>Prohibition of Advance Disclosure of Funding Decisions</strong></td>
<td>42 U.S.C., Chapter 44, Section 3537a</td>
<td>Department of Housing and Urban Development [Department of Housing and Urban Development Act, Public Law 89-174, Sec. 12, as added to by Pub. L. 101-235, Title I, Sec. 103, Dec. 15, 1989, 103 Stat. 1995]</td>
</tr>
<tr>
<td><strong>Prohibition Against Disclosure of Information or Knowledge</strong></td>
<td>22 U.S.C., Chapter 7, Section 287t</td>
<td>International Monetary Fund [Participation in UNESCO, July 30, 1946, Ch. 700, Sec. 8, 60 Stat. 714]</td>
</tr>
<tr>
<td><strong>Protection of Trade Secrets and Other Information</strong></td>
<td>7 U.S.C., Chapter 6, Subchapter II, Section 136h</td>
<td>Department of Agriculture/Environmental Protection Agency [Federal Insecticide, Fungicide, and Rodenticide Act, June 25, 1947, Ch. 125, Sec. 10, as added to by Public Law 92-516, Sec. 2, Oct. 21, 1972, 86 Stat. 989; amended by the Federal]</td>
</tr>
<tr>
<td>Subject/Title of Provision</td>
<td>United States Code Citation</td>
<td>Agency/Activity [Reference]</td>
</tr>
<tr>
<td>-----------------------------------</td>
<td>-------------------------------------------------</td>
<td>---------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Provision of Certain Counseling Services</td>
<td>42 U.S.C., Chapter 6A, Subchapter XXIV, Section 300ff-62</td>
<td>Department of Health and Human Services/Public Health Service</td>
</tr>
<tr>
<td>Public Disclosure</td>
<td>7 U.S.C., Chapter 1, Section 12</td>
<td>Commodity Futures Trading Commission [Grain Futures Act of Sept. 21, 1922, Ch. 369, Sec. 8, 42 Stat. 1003; amended by the Commodity Exchange Act of</td>
</tr>
<tr>
<td>Subject/Title of Provision</td>
<td>United States Code Citation</td>
<td>Agency/Activity [Reference]</td>
</tr>
<tr>
<td>---------------------------</td>
<td>-----------------------------</td>
<td>-----------------------------</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Subject/Title of Provision</th>
<th>United States Code Citation</th>
<th>Agency/Activity [Reference]</th>
</tr>
</thead>
<tbody>
<tr>
<td>Recordkeeping, Inspections, Monitoring, and Entry</td>
<td>42 U.S.C., Chapter 85, Subchapter I, Part A, Section 7414(c)</td>
<td>Environmental Protection Agency [Clean Air Act of July 14, 1955, Ch. 360, Title I, Sec. 114, as added to by Public Law 91-604, Sec. 4(a), Dec. 31, 1970, 84 Stat. 1687]</td>
</tr>
<tr>
<td>Records and Reports; Inspections</td>
<td>33 U.S.C., Chapter 26, Subchapter III, Section 1318(b)</td>
<td>Water Pollution [River and Harbor Act of 1948, June 30, 1948, Ch. 758, Title III, Sec. 308, as added to by the Water Pollution Control Act of 1972, Public Law 92-500, Sec. 2, Oct. 18, 1972, 86 Stat. 858; amended by the Water Quality Act of 1987, Public Law 100-4, Title III, Sec. 310, Title IV, Sec. 406(d)(1), Feb. 4, 1987, 101 Stat. 41, 73]</td>
</tr>
<tr>
<td>Subject/Title of Provision</td>
<td>United States Code Citation</td>
<td>Agency/Activity [Reference]</td>
</tr>
<tr>
<td>------------------------------------------------------------------------------------------</td>
<td>---------------------------------------------------------------------------------------------</td>
<td>-------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Subject/Title of Provision</td>
<td>United States Code Citation</td>
<td>Agency/Activity</td>
</tr>
<tr>
<td>----------------------------------------------------------------</td>
<td>------------------------------------------------------------------------------------------</td>
<td>--------------------------------------</td>
</tr>
<tr>
<td>Reporting Requirements; Disclosure of Information</td>
<td>16 U.S.C., Chapter 16C, Section 973j</td>
<td>Department of Commerce</td>
</tr>
<tr>
<td>Requests by Authorized Investigative Agencies</td>
<td>50 U.S.C., Chapter 15, Section 436 (b) and (e)</td>
<td>Intelligence Community</td>
</tr>
<tr>
<td>Subject/Title of Provision</td>
<td>United States Code Citation</td>
<td>Agency/Activity [Reference]</td>
</tr>
<tr>
<td>---------------------------------------------------------</td>
<td>-------------------------------------------------</td>
<td>----------------------------------------------------------------</td>
</tr>
<tr>
<td><strong>Research on Transplantation of Fetal Tissue</strong></td>
<td>42 U.S.C., Chapter 6A, Subchapter III, Part H, Section 289g-1(d)(2)</td>
<td>Department of Health and Human Services/National Institutes of Health [Public Health Service Act of July 1, 1944, Ch. 373, Title IV, Sec. 498A, as added to by Public Law 103-43, Title I, Sec. 111, June 10, 1993, 107 Stat. 129]</td>
</tr>
</tbody>
</table>
Table 6: Legal Information Disclosure Prohibitions

<table>
<thead>
<tr>
<th>Subject/Title of Provision</th>
<th>United States Code Citation</th>
<th>Agency/Activity [Reference]</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rules and Regulations</td>
<td>22 U.S.C., Chapter 46, Section 3104(c)</td>
<td>State Department [International Investment Survey Act, Public Law 94-472, Sec. 5, Oct. 11, 1976, 90 Stat. 2062; amended by the Foreign Direct Investment and International Financial Data Improvements Act of 1990, Public Law 101-533, Sec. 6(d), (e), 7(a), Nov. 7, 1990, 104 Stat. 2349]</td>
</tr>
<tr>
<td>Safeguards Information,</td>
<td>42 U.S.C, Chapter 23, Division A, Subchapter XI, Section 2167</td>
<td>Department of Energy [Atomic Energy Act of Aug. 1, 1946, Ch. 724, Title I, Sec. 147, as added to by Public Law 96-295, Title II, Sec. 207(a)(1), June 30, 1980, 94 Stat. 788; renumbered Title I, Public Law 102-486, Title IX, Sec. 902(a)(8), Oct. 24, 1992, 106 Stat. 2944]</td>
</tr>
<tr>
<td>Secrecy</td>
<td>Federal Rules of Criminal Procedure, Rule 6(e)</td>
<td>Grand Juries</td>
</tr>
<tr>
<td>Security and Law Enforcement in Property Under the Jurisdiction of the Department of Veterans Affairs</td>
<td>38 U.S.C., Chapter 9</td>
<td>Department of Veterans Affairs [Department of Veterans Affairs Codification Act, Public Law 102-83, Sec. 2(a), Aug. 6, 1991, 105 Stat. 397]</td>
</tr>
</tbody>
</table>
### Table 6: Legal Information Disclosure Prohibitions

<table>
<thead>
<tr>
<th>Subject/Title of Provision</th>
<th>United States Code Citation</th>
<th>Agency/Activity [Reference]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Submission of Purchase Intentions by Cigarette Manufacturers</strong></td>
<td>7 U.S.C., Chapter 35, General Provisions, Section 1314g(c)</td>
<td>Department of Agriculture [Agricultural Adjustment Act of 1938, Feb. 16, 1938, Ch. 30, Title III, Sec. 320A, as added to by Public Law 99-272, Title I, Sec. 1103(d), Apr. 7, 1986, 100 Stat. 88]</td>
</tr>
<tr>
<td><strong>Transition Period</strong></td>
<td>45 U.S.C., Chapter 21, Section 1204 (b)</td>
<td>Department of Transportation Railroads [Alaska Railroad Transfer Act of 1982, Public Law 97-468, Title VI, Sec. 605(b), Jan. 14, 1983, 96 Stat. 2562, 2563]</td>
</tr>
<tr>
<td>Subject/Title of Provision</td>
<td>United States Code Citation</td>
<td>Agency/Activity [Reference]</td>
</tr>
<tr>
<td>---------------------------</td>
<td>-----------------------------</td>
<td>-----------------------------</td>
</tr>
<tr>
<td>Subject/Title of Provision</td>
<td>United States Code Citation</td>
<td>Agency/Activity [Reference]</td>
</tr>
<tr>
<td>---------------------------</td>
<td>----------------------------</td>
<td>-----------------------------</td>
</tr>
<tr>
<td><strong>Unlawful Possession or Receipt of Firearms, Federal Rules of Criminal Procedure, The Grand Jury</strong></td>
<td>18 U.S.C., Sections 1201-1203, Sec. 16, I, Rule 6</td>
<td>Courts [Advisory Committee on Rules: 1944; Advisory Committee on Rules Amendment Feb. 28, 1966; Advisory Committee on Rules Amendment Apr. 24, 1972; Advisory Committee on Rules Amendments Apr. 26 and July 8, 1976 (amended by Public Law 95-78, Sec. 2(a), July 30, 1977, 91 Stat. 319); Advisory Committee on Rules</td>
</tr>
</tbody>
</table>
Table 6: Legal Information Disclosure Prohibitions

<table>
<thead>
<tr>
<th>Subject/Title of Provision</th>
<th>United States Code Citation</th>
<th>Agency/Activity [Reference]</th>
</tr>
</thead>
<tbody>
<tr>
<td>Subject/Title of Provision</td>
<td>United States Code Citation</td>
<td>Agency/Activity [Reference]</td>
</tr>
<tr>
<td>--------------------------------------------------</td>
<td>-----------------------------------------------------</td>
<td>--------------------------------------------------------------------------------------------</td>
</tr>
</tbody>
</table>
E.2 Executive Mandates

E.2.1 Office of Management and Budget Memoranda and Guidelines

(a) Appendix III to OMB Circular No. A-130 of February 1996
   Subject: Security of Federal Automated Information Resources
   [See text at http://csrc.nist.gov/secplcy/a130app3.txt.]

(b) OMB Memorandum of November 3, 1997
   MEMORANDUM FOR THE CHIEF INFORMATION SECURITY OFFICERS
   Subject: Privacy Act Responsibilities for Implementing the Personal Responsibility and
   Work Opportunity Reconciliation Act of 1996
   [See text at http://www.whitehouse.gov/omb/inforeg/infopoltech.html.]

(c) OMB M-99-05 of January 7, 1999
   MEMORANDUM FOR HEADS OF DEPARTMENTS AND AGENCIES
   Subject: Instructions on complying with President's Memorandum of May 14, 1998,
   "Privacy and Personal Information in Federal Records"
   [See text at http://www.whitehouse.gov/omb/memoranda/m99-05.html.]

(d) OMB M-99-18 of June 2, 1999
   MEMORANDUM FOR THE HEADS OF EXECUTIVE DEPARTMENTS AND
   AGENCIES
   Subject: Privacy Policies on Federal Web Sites
   [See text at http://csrc.nist.gov/policies/privacypol.pdf.]

   Federal agencies must protect an individual's right to privacy when they collect personal
   information. This is required by the Privacy Act, 5 U.S.C. 552a, and OMB Circular No.
   1996), and supported by the Principles for Providing and Using Personal Information
   published by the Information Infrastructure Task Force on June 6, 1995. Posting a
   privacy policy helps ensure that individuals have notice and choice about, and thus
   confidence in, how their personal information is handled when they use the Internet.

(e) OMB M-99-20 of June 23, 1999
   MEMORANDUM FOR THE HEADS OF DEPARTMENTS AND AGENCIES
   Subject: Security of Federal Automated Information Resources
   [See text at http://www.whitehouse.gov/omb/memoranda/m99-20.html.]

(f) OMB M-00-13 of June 22, 2000
   MEMORANDUM FOR THE HEADS OF EXECUTIVE DEPARTMENTS AND
   AGENCIES
   Subject: Privacy Policies and Data Collection on Federal Web Sites
   [See text at http://www.whitehouse.gov/omb/memoranda/m00-13.html.]

(g) OMB M-00-15 of September 25, 2000
   MEMORANDUM FOR THE HEADS OF DEPARTMENTS AND AGENCIES
Subject: OMB Guidance on Implementing the Electronic Signatures in Global and National Commerce Act
[Text at http://www.whitehouse.gov/omb/memoranda/m00-15.html affects integrity impact determinations.]

(h) OMB M-01-05 of December 20, 2000
MEMORANDUM FOR HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES
Subject: Guidance on Inter-agency Sharing of Personal Data – Protecting Personal Privacy
[Text at http://www.whitehouse.gov/omb/memoranda/m01-05.html.]

(i) OMB M-01-08 of January 16, 2001
MEMORANDUM FOR THE HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES
Subject: Guidance on Implementing the Government Information Security Reform Act

(j) OMB Memorandum of October 15, 2001
MEMORANDUM TO CHIEF INFORMATION OFFICERS AND PROGRAM
Subject: Guidance on the Release of Security Act Reports
[See text at http://csrc.nist.gov/policies/memo-ciopo.txt.]

(k) OMB Guideline of February 22, 2002
Guidelines for Ensuring and Maximizing the Quality, Objectivity, Utility, and Integrity of Information Disseminated By Federal Agencies (Federal Register, Notices, Vol. 67, No. 36, 8452)
[See text at http://www.whitehouse.gov/omb/fedreg/reproducible2.pdf.]

(l) OMB M-03-18 of August 1, 2003
MEMORANDUM TO ALL DEPARTMENT AND AGENCY HEADS
[See especially text referring to information security and to privacy at http://www.whitehouse.gov/omb/memoranda/m03-18.pdf]

(m) OMB M-03-19 of August 6, 2003
MEMORANDUM FOR HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES
Subject: Reporting Instructions for the Federal Information Security Management Act and Updated Guidance on Quarterly IT Security Reporting
[See text at http://www.whitehouse.gov/omb/memoranda/m03-19.pdf]

(n) OMB M-03-22 of September 26, 2003
MEMORANDUM FOR HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES
[See text at http://www.whitehouse.gov/omb/memoranda/m03-22.html]
E.2.2 Presidential Directives and Executive Orders

(a) Executive Order 10450 of April 27, 1953
SECURITY REQUIREMENTS FOR GOVERNMENT EMPLOYEES
[See http://www.dss.mil/nf/adr/10450/EO10450F.htm.]

Section 8 (a) The investigations conducted pursuant to this order shall be designed to develop information as to whether the employment or retention in employment in the Federal service of the person being investigated is clearly consistent with the interests of the national security. Such information shall relate, but shall not be limited, to the following:

6. Intentional unauthorized disclosure to any person of security information, or of other information disclosure of which is prohibited by law, or willful violation or disregard of security regulations.

(b) Executive Order 12046 of March 27, 1978
RELATING TO THE TRANSFER OF TELECOMMUNICATIONS FUNCTIONS

2-405. The Secretary of Commerce shall provide for the coordination of the telecommunications activities of the Executive Branch, and shall assist in the formulation of policies and standards for those activities, including but not limited to considerations of interoperability, privacy, security, spectrum use and emergency readiness.

(c) Executive Order 12656 of November 18, 1988
ASSIGNMENT OF EMERGENCY PREPAREDNESS RESPONSIBILITIES
Sec. 201. General. The head of each Federal department and agency, as appropriate, shall:
(12) Ensure a capability to provide, during a national security emergency, information concerning Acts of Congress, presidential proclamations, Executive orders, regulations, and notices of other actions to the Archivist of the United States, for publication in the Federal Register, or to each agency designated to maintain the Federal Register in an emergency.

Sec. 701. Lead Responsibilities. In addition to the applicable responsibilities covered in Parts 1 and 2, the Secretary of Energy shall:
(1) Conduct national security emergency preparedness planning, including capabilities development, and administer operational programs for all energy, resources, including:
(a) Providing information, in cooperation with Federal, State, and energy industry officials, on energy supply and demand conditions and on the requirements for and the availability of materials and services critical to energy supply systems.

Sec. 1101. Lead Responsibilities. In addition to the applicable responsibilities covered in Parts 1 and 2, the Attorney General of the United States shall:
(6) Provide information and assistance to the Federal Judicial branch and the Federal Legislative branch concerning law enforcement, continuity of government, and the exercise of legal authority during national security emergencies.

Sec. 1802. Support Responsibility. The Administrator of General Services shall develop plans to assist Federal departments and agencies in operation and maintenance of essential automated information processing facilities during national security emergencies.

(d) Executive Order 12812 of July 22, 1992
DECLARATION AND RELEASE OF MATERIALS PERTAINING TO PRISONERS OF WAR AND MISSING IN ACTION
[See http://www.dtic.mil/dpmo/foia/eo12812.htm.]

Sec. 2. All executive departments and agencies shall make publicly available documents, files, and other materials declassified pursuant to section 1, except for those the disclosure of which would constitute a clearly unwarranted invasion of personal privacy of returnees, family members of POWs and MIAs, or other persons, or would impair the deliberative processes of the executive branch.

(e) Presidential Decision Directive PDD/NSC-12 of August 5, 1993
Subject: Security Awareness and Reporting of Foreign Contacts

Presidential Decision Directive/NSC-12 requires that government employees report all contacts with individuals of any nationality, either within or outside the scope of the employee's official activities, in which:
• Illegal or unauthorized access is sought to classified or otherwise sensitive information.
• The employee is concerned that he/she may be the target of actual or attempted exploitation by a foreign entity.

Government employees must immediately report any discussion in which someone asks them to provide sensitive information which they are not authorized to receive. If in doubt, the agency Security Office has or knows personnel that are available to assess information and determine if a potential counterintelligence threat exists.

(f) Executive Order 12951 of February 24, 1995
RELEASE OF IMAGERY ACQUIRED BY SPACE-BASED NATIONAL INTELLIGENCE RECONNAISSANCE SYSTEMS

Section 1. Public Release of Historical Intelligence Imagery. Imagery acquired by the space-based national intelligence reconnaissance systems known as the Corona, Argon, and Lanyard missions shall, within 18 months of the date of this order, be declassified and transferred to the National Archives and Records Administration with a copy sent to the United States Geological Survey of the Department of the Interior consistent with procedures approved by the Director of Central Intelligence and the Archivist of the United States. Upon transfer, such imagery shall be deemed declassified and shall be made available to the public.

Section 3. General Provisions. (a) This order prescribes a comprehensive and exclusive system for the public release of imagery acquired by space-based national intelligence reconnaissance systems. This order is the exclusive Executive order governing the public release of imagery for purposes of section 552(b)(1) of the Freedom of Information Act.

(g) Executive Order 12958 of April 17, 1995
CLASSIFIED NATIONAL SECURITY INFORMATION

Section 3.7. Processing Requests and Reviews. In response to a request for information under the Freedom of Information Act, the Privacy Act of 1974, or the mandatory review provisions of this order, or pursuant to the automatic declassification or systematic review provisions of this order:

(a) An agency may refuse to confirm or deny the existence or nonexistence of requested information whenever the fact of its existence or nonexistence is itself classified under this order.

(b) When an agency receives any request for documents in its custody that contain information that was originally classified by another agency, or comes across such documents in the process of the automatic declassification or systematic review
provisions of this order, it shall refer copies of any request and the pertinent
documents to the originating agency for processing, and may, after consultation with
the originating agency, inform any requester of the referral unless such association is
itself classified under this order. In cases in which the originating agency determines
in writing that a response under paragraph (a), above, is required, the referring agency
shall respond to the requester in accordance with that paragraph.

(h) Executive Order 12968 of August 4, 1995
ACCESS TO CLASSIFIED INFORMATION
[See http://www.dss.mil/seclib/eo12968.htm.]

Section 5.2. Review Proceedings for Denials or Revocations of Eligibility for Access.
(a) Applicants and employees who are determined to not meet the standards for access to
classified information established in section 3.1 of this order shall be:

(1) provided as comprehensive and detailed a written explanation of the basis for that
conclusion as the national security interests of the United States and other applicable
law permit; provided within 30 days, upon request and to the extent the documents
would be provided if requested under the Freedom of Information Act (5 U.S.C. 552)
or the Privacy Act (3 U.S.C. 552a), as applicable, any documents, records, and reports
upon which a denial or revocation is based.

(i) Presidential Decision Directive PDD 63 of May 22, 1998
Subject: The Clinton Administration’s Policy on Critical Infrastructure Protection
[See text in http://csrc.nist.gov/policies/paper598.pdf.]

Subject: Encryption Policy
[See text in http://fas.org/irp/offdocs.]

(k) MEMORANDUM FOR THE HEADS OF EXECUTIVE DEPARTMENTS AND
AGENCIES of March 3, 2000
Subject: Action by Federal Agencies to Safeguard Against Internet Attacks
[See http://csrc.nist.gov/policies/Wh3300Memo.txt.]

(l) Executive Order 13228 of October 8, 2001
ESTABLISHING THE OFFICE OF HOMELAND SECURITY AND THE HOMELAND
SECURITY COUNCIL

(e) Protection. The Office shall coordinate efforts to protect the United States and its
critical infrastructure from the consequences of terrorist attacks. In performing this
function, the Office shall work with Federal, State, and local agencies, and private
entities, as appropriate, to: …
(ii) coordinate efforts to protect critical public and privately owned information systems within the United States from terrorist attack;

(f) Response and Recovery. The Office shall coordinate efforts to respond to and promote recovery from terrorist threats or attacks within the United States. In performing this function, the Office shall work with Federal, State, and local agencies, and private entities, as appropriate, to: …

(ii) coordinate efforts to ensure rapid restoration of public and private critical information systems after disruption by a terrorist threat or attack;

(m) Executive Order 13231 of October 16, 2001
CRITICAL INFRASTRUCTURE PROTECTION IN THE INFORMATION AGE

(n) Executive Order 13233 of November 1, 2001
FURTHER IMPLEMENTATION OF THE PRESIDENTIAL RECORDS ACT
[See http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=2001_register&docid=fr05no01-104.pdf.]

(o) Military Order of November 13, 2001
DETENTION, TREATMENT, AND TRIAL OF CERTAIN NON-CITIZENS IN THE WAR AGAINST TERRORISM

Section 4. Authority of the Secretary of Defense Regarding Trials of Individuals Subject to this Order.

(c) Orders and regulations issued under subsection (b) of this section shall include, but not be limited to, rules for the conduct of the proceedings of military commissions, including pretrial, trial, and post-trial procedures, modes of proof, issuance of process, and qualifications of attorneys, which shall at a minimum provide for--

(4) in a manner consistent with the protection of information classified or classifiable under Executive Order 12958 of April 17, 1995, as amended, or any successor Executive Order, protected by statute or rule from unauthorized disclosure, or otherwise protected by law, (A) the handling of, admission into evidence of, and access to materials and information, and (B) the conduct, closure of, and access to proceedings;

(p) Executive Order 13284 of January 23, 2003
AMENDMENT OF EXECUTIVE ORDERS, AND OTHER ACTIONS, IN CONNECTION WITH THE ESTABLISHMENT OF THE DEPARTMENT OF HOMELAND SECURITY
[See http://www.state.gov/documents/organization/22978.doc.]

The Secretary of Homeland Security, the Deputy Secretary of Homeland Security, the Under Secretary for Information Analysis and Infrastructure Protection, Department of Homeland Security, and the Assistant Secretary for Information Analysis, Department of Homeland Security, each shall be considered a “Senior Official of the Intelligence Community” for purposes of Executive Order 12333, and all other relevant authorities, and shall:

(a) recognize and give effect to all current clearances for access to classified information held by those who become employees of the Department of Homeland Security by operation of law pursuant to the Homeland Security Act of 2002 or by Presidential appointment;
(b) recognize and give effect to all current clearances for access to classified information held by those in the private sector with whom employees of the Department of Homeland Security may seek to interact in the discharge of their homeland security-related responsibilities;
(c) make all clearance and access determinations pursuant to Executive Order 12968 of August 2, 1995, or any successor Executive Order, as to employees of, and applicants for employment in, the Department of Homeland Security who do not then hold a current clearance for access to classified information; and
(d) ensure all clearance and access determinations for those in the private sector with whom employees of the Department of Homeland Security may seek to interact in the discharge of their homeland security-related responsibilities are made in accordance with Executive Order 12829 of January 6, 1993.

(q) Executive Order 13286 of February 28, 2003
AMENDMENT OF EXECUTIVE ORDERS, AND OTHER ACTIONS, IN CONNECTION WITH THE TRANSFER OF CERTAIN FUNCTIONS TO THE SECRETARY OF HOMELAND SECURITY

Section 7. Executive Order 13231 of October 16, 2001 (“Critical Infrastructure Protection in the Information Age”), as amended: see Executive Order for text.

Section 1.4. Classification Categories. Information shall not be considered for classification unless it concerns:
(a) military plans, weapons systems, or operations;
(b) foreign government information;
(c) intelligence activities (including special activities), intelligence sources or methods, or cryptology;
(d) foreign relations or foreign activities of the United States, including confidential sources;
(e) scientific, technological, or economic matters relating to the national security, which includes defense against transnational terrorism;
(f) United States Government programs for safeguarding nuclear materials or facilities;
(g) vulnerabilities or capabilities of systems, installations, infrastructures, projects, plans, or protection services relating to the national security, which includes defense against transnational terrorism; or
(h) weapons of mass destruction.

(r) Executive Order 13292 of March 25, 2003
FURTHER AMENDMENT TO EXECUTIVE ORDER 12958, AS AMENDED,
CLASSIFIED NATIONAL SECURITY INFORMATION
[See http://foia.state.gov/EO12958/EO13292.asp.]

Section 1.7. Classification Prohibitions and Limitations.

(a) In no case shall information be classified in order to:
   (1) conceal violations of law, inefficiency, or administrative error;
   (2) prevent embarrassment to a person, organization, or agency;
   (3) restrain competition; or
   (4) prevent or delay the release of information that does not require protection in the interest of the national security.

(b) Basic scientific research information not clearly related to the national security shall not be classified.

(c) Information may be reclassified after declassification and release to the public under proper authority only in accordance with the following conditions:
   (1) the reclassification action is taken under the personal authority of the agency head or deputy agency head, who determines in writing that the reclassification of the information is necessary in the interest of the national security;
   (2) the information may be reasonably recovered; and
   (3) the reclassification action is reported promptly to the Director of the Information Security Oversight Office.

(d) Information that has not previously been disclosed to the public under proper authority may be classified or reclassified after an agency has received a request for it under the Freedom of Information Act (5 U.S.C. 552) or the Privacy Act of 1974 (5 U.S.C. 552a), or the mandatory review provisions of section 3.5 of this order only if such classification meets the requirements of this order and is 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 designated under section 5.4 of this order.

(e) Compilations of items of information that are individually unclassified may be classified if the compiled information reveals an additional association or relationship that: (1) meets the standards for classification under this order; and (2) is not
otherwise revealed in the individual items of information. As used in this order, "compilation" means an aggregation of pre-existing unclassified items of information.

Section 1.8. Classification Challenges.

(a) Authorized holders of information who, in good faith, believe that its classification status is improper are encouraged and expected to challenge the classification status of the information in accordance with agency procedures established under paragraph (b) of this section.

(b) In accordance with implementing directives issued pursuant to this order, an agency head or senior agency official shall establish procedures under which authorized holders of information are encouraged and expected to challenge the classification of information that they believe is improperly classified or unclassified. These procedures shall ensure that:
   (1) individuals are not subject to retribution for bringing such actions;
   (2) an opportunity is provided for review by an impartial official or panel; and
   (3) individuals are advised of their right to appeal agency decisions to the Interagency Security Classification Appeals Panel (Panel) established by section 5.3 of this order.

(s) Executive Order 13311 of July 29, 2003
HOMELAND SECURITY INFORMATION SHARING
[See http://a257.g.akamaitech.net/7/257/2422/14mar20010800/edocket.access.gpo.gov/2003/pdf/03-19675.pdf.]

Section 1. Assignment of Functions.
(a) The functions of the President under section 892 of the Act are assigned to the Secretary of Homeland Security (the "Secretary"), except the functions of the President under subsections 892(a)(2) and 892(b)(7).

(f) A determination, under the procedures issued by the Secretary in the performance of the function of the President under section 892(a)(1) of the Act, as to whether, or to what extent, an individual who falls within the category of "State and local personnel" as defined in sections 892(f)(3) and (f)(4) of the Act shall have access to information classified pursuant to Executive Order 12958 of April 17, 1995, as amended, is a discretionary determination and shall be conclusive and not subject to review or appeal.

Subject: Integration and Use of Screening Information

(2) The heads of executive departments and agencies shall, to the extent permitted by law, provide to the Terrorist Threat Integration Center (TTIC) on an ongoing basis all appropriate Terrorist Information in their possession, custody, or control. The Attorney
General, in coordination with the Secretary of State, the Secretary of Homeland Security, and the Director of Central Intelligence shall implement appropriate procedures and safeguards with respect to all such information about United States persons. The TTIC will provide the organization referenced in paragraph (1) with access to all appropriate information or intelligence in the TTIC's custody, possession, or control that the organization requires to perform its functions.

Subject: Critical Infrastructure Identification, Prioritization, and Protection

(10) Federal departments and agencies will appropriately protect information associated with carrying out this directive, including handling voluntarily provided information and information that would facilitate terrorist targeting of critical infrastructure and key resources consistent with the Homeland Security Act of 2002 and other applicable legal authorities.

(22) (f) The Office of Management and Budget (OMB) shall oversee the implementation of government-wide policies, principles, standards, and guidelines for Federal government computer security programs. The Director of OMB will ensure the operation of a central Federal information security incident center consistent with the requirements of the Federal Information Security Management Act of 2002.

(24) All Federal department and agency heads are responsible for the identification, prioritization, assessment, remediation, and protection of their respective internal critical infrastructure and key resources. Consistent with the Federal Information Security Management Act of 2002, agencies will identify and provide information security protections commensurate with the risk and magnitude of the harm resulting from the unauthorized access, use, disclosure, disruption, modification, or destruction of information.

E.2.3 Other EOP Guidance

(a) MEMORANDUM FOR THE HEADS OF DEPARTMENTS AND AGENCIES of February 22, 2000
Subject: Security of Federal Information Systems
[See http://csrc.nist.gov/policies/cos-memo.html.]

(b) MEMORANDUM FOR HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES of March 19, 2002
Subject: Action to Safeguard Information Regarding Weapons of Mass Destruction and Other Sensitive Documents Related to Homeland Security

(c) MEMORANDUM FOR DEPARTMENTS AND AGENCIES of March 19, 2002
Subject: Safeguarding Information Regarding Weapons of Mass Destruction and Other Sensitive Records Related to Homeland Security
III. Sensitive But Unclassified Information

In addition to information that could reasonably be expected to assist in the development or use of weapons of mass destruction, which should be classified or reclassified as described in Parts I and II above, departments and agencies maintain and control sensitive information related to America's homeland security that might not meet one or more of the standards for classification set forth in Part 1 of Executive Order 12958. The need to protect such sensitive information from inappropriate disclosure should be carefully considered, on a case-by-case basis, together with the benefits that result from the open and efficient exchange of scientific, technical, and like information.

All departments and agencies should ensure that in taking necessary and appropriate actions to safeguard sensitive but unclassified information related to America's homeland security, they process any Freedom of Information Act request for records containing such information in accordance with the Attorney General's FOIA Memorandum of October 12, 2001, by giving full and careful consideration to all applicable FOIA exemptions. See FOIA Post, "New Attorney General FOIA Memorandum Issued" (posted 10/15/01) (found at http://www.usdoj.gov/oip/foiapost/2001foiapost19.htm), which discusses and provides electronic links to further guidance on the authority available under Exemption 2 of the FOIA, 5 U.S.C. § 552(b)(2), for the protection of sensitive critical infrastructure information. In the case of information that is voluntarily submitted to the Government from the private sector, such information may readily fall within the protection of Exemption 4 of the FOIA, 5 U.S.C. § 552(b)(4).

E.3 OMB and Case Law Interpretations

The disclosure prohibitions, as stated in law are often imprecise. As a result, Office of Management and Budget and case law interpretations are sometimes necessary to clarify the prohibitions. In some cases, the analyst may need to identify such clarifications and interpretations.

One law imposing disclosure prohibitions that has received particular attention across the Federal government deserves special attention. The Privacy Act of 1974, 5 U.S.C. § 552a (2000), which has been in effect since September 27, 1975, can generally be characterized as an omnibus "code of fair information practices" that attempts to regulate the collection, maintenance, use, and dissemination of personal information by federal executive branch agencies. However, the Act's imprecise language, limited legislative history, and somewhat outdated regulatory guidelines have rendered it a difficult statute to decipher and apply. Moreover, even after more than twenty-five years of administrative and judicial analysis, numerous Privacy Act issues remain unresolved or unexplored. Adding to these interpretational difficulties is the fact that many Privacy Act cases are unpublished district court decisions.

A primary element of the Privacy Act of 1974 is the "no disclosure without consent" rule: No agency shall disclose any record which is contained in a system of records by any means of
communication to any person, or to another agency, except pursuant to a written request by, or with the prior written consent of, the individual to whom the record pertains [subject to 12 exceptions].” 5 U.S.C. § 552a(b).

Note that a "disclosure" can be by any means of communication - written, oral, electronic, or mechanical. [See OMB Guidelines, 40 Fed. Reg. 28,948, 28,953 (1975).]
Details of the Privacy Act of 1974, together with OMB and judicial interpretations can be found on the Department of Justice web site, http://www.usdoj.gov/04foia/04_7_1.html.


As a general rule, the OMB Guidelines are entitled to the deference usually accorded the interpretations of the agency that has been charged with the administration of a statute. Quinn v. Stone, 978 F.2d 126, 133 (3d Cir. 1992); Baker v. Dep't of the Navy, 814 F.2d 1381, 1383 (9th Cir. 1987); Perry v. FBI, 759 F.2d 1271, 1276 n.7 (7th Cir. 1985) (citing Bartel v. FAA, 725 F.2d 1403, 1408 n.9 (D.C. Cir. 1984); Albright v. United States, 631 F.2d 915, 919 n.5 (D.C. Cir. 1980)), rev'd en banc on other grounds, 781 F.2d 1294 (7th Cir. 1986); Smiertka v. United States Dep't of the Treasury, 604 F.2d 698, 703 n.12 (D.C. Cir. 1979); Rogers v. United States Dep't of Labor, 607 F. Supp. 697, 700 n.2 (N.D. Cal. 1985); Sanchez v. United States, 3 Gov't Disclosure Serv. (P-H) ¶ 83,116, at 83,709 (S.D. Tex. Sept. 10, 1982); Golliver v. United States Postal Serv., 3 Gov't Disclosure Serv. (P-H) ¶ 83,114, at 83,703 (N.D. Ohio June 10, 1982); Greene v. VA, No. C-76-461-S, slip op. at 6-7 (M.D.N.C. July 3, 1978); Daniels v. FCC, No. 77-5011, slip op. at 8-9 (D.S.D. Mar. 15, 1978); see also Martin v. Office of Special Counsel, 819 F.2d 1181, 1188 (D.C. Cir. 1987) (OMB interpretation is "worthy of our attention and solicitude").


Additionally, OMB has issued guidance regarding implementation of the privacy provisions of the E-Government Act of 2002 (See Section 208 of Public Law 107-347, 44 U.S.C. Chapter 36). Section 208 of the E-Government Act of 2002 requires that OMB issue guidance to agencies on