



Australian Government

Information security management guidelines

Australian Government security classification system

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Amendments

No.	Location	Amendment

1. Introduction

1.1 Purpose

The *Australian Government information security management guidelines—Australian Government security classification system* give guidance in identifying and grading the confidentiality requirements of official information.

The guidelines assist agencies to identify the value of information. This in turn is advised by the application of a suitable protective marking.

1.2 Audience

This document is primarily intended for Australian Government employees and contractors.

1.3 Scope

These guidelines relate to information security within the Australian Government.

1.3.1 *Use of specific terms in these guidelines*

In these guidelines the terms:

- ‘need to’—refers to a legislative requirement that agencies must meet
- ‘are required to’ or ‘is required to’—refer to a control:
 - to which agencies cannot give a policy exception, or
 - used in other protective security documents that set controls
- ‘are to’ or ‘is to’—are directions required to support compliance with the mandatory requirements of the physical security core policy, and
- ‘should’—refers to better practice; agencies are expected to apply better practice unless there is a reason based on their risk assessment to apply alternative controls.

For details on policy exceptions see the [Australian Government information security management protocol](#).

2. Background

2.1 Why the guidelines were developed

These guidelines have been developed to provide a consistent and structured approach to the protective marking of Australian Government official information.

2.2 Relationship to other documents

These guidelines support the implementation of the [Protective Security Policy Framework](#) (PSPF).

In particular they support the [Australian Government information security core policy](#) and [Information security management protocol](#).

They are part of a suite of documents that assist agencies to meet their information security mandatory requirements.

2.3 How the guidelines are structured

These guidelines explain the purpose of protective markings and provide guidance on the security classification process, the use of dissemination limiting markers and the application of caveats.

3. Sensitive and security classified information

3.1 Two types of official information

There are two types of official information:

- information that does not need increased security, and
- information that needs increased security to protect its confidentiality.

Official information can include public sector information sanctioned for public access or circulation, such as agency publications or web sites.

The [Freedom of Information Act 1982](#) (the FOI Act), provides the legislative basis for the release of Government information. Part IV Exempt Documents, Divisions 1 to 3, describes the types of government documents that may be exempt or conditionally exempt from authorised disclosure.

Similarly, the Australian Government security classification system identifies similar types of official information to assist in protecting against unauthorised or accidental disclosure. It includes documents the disclosure of which:

- would or could reasonably be expected to cause damage to:
 - the security of the Commonwealth
 - the defence of the Commonwealth, or
 - the international relations of the Commonwealth
- would divulge any information or matter communicated in confidence by or on behalf of a foreign government or an international organisation to the Australian Government
- would or could reasonably be expected to reveal Cabinet deliberations
- would or could reasonably be expected to:
 - prejudice the conduct of an investigation of a breach, or possible breach, of the law, or a failure, or possible failure, to comply with a law relating to taxation, or prejudice the enforcement or proper administration of the law in a particular instance
 - disclose, or enable a person to ascertain, the existence or identity of a confidential source of information, or the non-existence of a confidential source of information, in relation to the enforcement or administration of the law, or
 - endanger the life or physical safety of any person
- is prohibited under a provision of an enactment
- would be privileged from production in legal proceedings on the ground of legal professional privilege
- would found an action for breach of confidence against the Australian Government
- would be in contempt of Parliament or in contempt of a court
- would reveal trade secrets, or would or could reasonably be expected to destroy or diminish commercially valuable information
- would or could reasonably be expected to cause damage to relations between the Australian Government and state or territory governments
- would reveal deliberative processes within Australian Government agencies

- would have a substantial adverse effect on the financial or property interests of the Australian Government or of an agency
- would or could reasonably be expected to:
 - prejudice the effectiveness of procedures or methods for the conduct of tests, examinations or audits by an agency
 - prejudice the attainment of the objects of particular tests, examinations or audits conducted or to be conducted by an agency
 - have a substantial adverse effect on the management or assessment of personnel, or
 - have a substantial adverse effect on the proper and efficient conduct of agency operations
- would involve the unreasonable disclosure of personal information
- would or could reasonably be expected to adversely affect an individual in respect of lawful business or professional affairs, or an organisation or undertaking in respect of its lawful business, commercial or financial affairs
- would, by early disclosure, be likely to unreasonably expose the Australian Government to disadvantage relating to research
- would or could be reasonably expected to have a substantial adverse effect on Australia's economy by:
 - influencing a decision or action, or
 - giving an undue benefit or detriment, in relation to business, by providing premature knowledge of proposed or possible action or inaction.

Official information not needing protection may be marked UNCLASSIFIED.

Information needing increased protection is to be either security classified and identified by a protective marking showing the level and protection required, assigned a dissemination limiting marker (DLM) or, when appropriate, a caveat.

The **need to know** principle is to be applied to all official information.

Australian Government employees are to have agency authorisation to release any information to members of the public. Authorisation may be granted by the agency head or a person authorised by the agency head. When personal information is involved, any release is to comply with the [Privacy Act 1988](#) (the Privacy Act).

Even if information is intended for public release or publication it could have confidentiality requirements before release—for example, Budget papers. In this case, the point at which the information will be publicly available is to be marked. When this information ceases to need confidential treatment, agencies need to consider continuing availability and integrity requirements.

All personal information held—even if it is publicly available—is to be handled in accordance with the Information Privacy Principles (IPPs) in the Privacy Act.

Where an assessment of business impact levels suggests the compromise of official information would have adverse results, the information should be given extra protection. The level and type of protective measures will depend on the severity of the results.

Protection is given by limiting access to the information through a series of measures. The measures can be:

- procedural—such as use, handling, transmission and access restricted to suitably cleared employees
- physical—for example, storage and access to work area, or
- technical—such as firewalls and encryption.

To reduce the risk of unauthorised disclosure, agencies should take all reasonable and appropriate precautions to ensure that only people with a proven **need to know** and the correct security clearance gain access to sensitive and security classified information.

People are not entitled to access information merely because it would be convenient for them to know or because of their status, position, rank or level of authorised access. For details on personnel security requirements, see the [Australian Government Personnel security protocol](#).

Sensitive and security classified information has special handling requirements, especially during electronic transmission or physical transfer. It is only to be used and stored in physical environments that provide a fitting level of protective security. For details on physical security requirements, see the [Australian Government physical security management protocol](#).

3.2 Who is responsible for the decision to apply protective markings?

The person responsible for preparing the information—or for actioning information produced outside the Australian Government—is to decide its protective markings. This person is called the **originator**.

Agencies are to advise all employees, including contractors, who use the security classification system on how to use it.

3.3 When to apply protective markings

When information is created, the originator is required to assess the consequences of damage from unauthorised compromise or misuse of the information. If adverse consequences could occur or the agency is legally required to protect the information it is to be given a protective marking.

If information is created outside the Australian Government the person working for the government actioning this information is to determine whether it needs a protective marking. Markings suggested by outside organisations or people should not automatically be accepted by Australian Government agencies unless there has been a prior agreement. The impact that protective marking may have on information sharing should also be considered.

Information derived directly from security classified sources is to carry, at a minimum, the highest security classification of any of its sources.

3.4 Confirmation of protective marking

As protective markings make information more expensive to handle, store and transfer, agencies are encouraged to have a procedure for confirming initial markings, especially where the protective marking is not normal or standard for that agency.

3.5 Who can alter a protective marking?

A fundamental principle is that only the originating agency—in other words, the agency that assigned the original protective marking—can change the markings it applies to its information.

Protective markings thought to be inappropriate should be queried with the originator or the agency now responsible. If an agency is abolished or merged, the agency assuming the former agency's responsibilities is considered the originating agency. The points of contact should be the agency security adviser (ASA) and the information technology security adviser (ITSA) of the new agency.

Protectively marked records transferred into the custody of the National Archives of Australia keep the protective markings they had when received from the originating agency and are stored and handled in accordance with those markings. The [Archives Act 1983](#) (the Archives Act), however, provides that where a record is made available for public access in accordance with the Act—in other words, it is in the **open after 30 years period**—and does not contain continuing exempt information, any protective markings cease to have effect for any purpose.

Agencies considering the transfer of records that carry the security classification of SECRET or above to the National Archives of Australia should first consult with the National Archives about the issue of declassification.

3.6 What to protectively mark

Government policy is to keep protectively marked information to a minimum. Information needing increased protection is identified by considering the business impact levels of its unauthorised disclosure or misuse.

In no case shall official information be protectively marked to:

- hide violations of law, inefficiency, or administrative error
- prevent embarrassment to an individual, organisation, or agency
- restrain competition, or
- prevent or delay the release of information that does not need protection in the public interest.

3.7 Over-classification

Information should only be security classified when the results of compromise warrant the expense of increased protection. It is important that information not requiring protection remains unclassified. DLMs can be used for information requiring the lowest levels of protection.

Inappropriate over-classification has many seriously harmful effects:

- public access to government information becomes unnecessarily limited
- unnecessary, administrative arrangements are set up that will remain in force for the life of the document—including repository arrangements for records transferred to the National Archives of Australia—imposing an unnecessary cost on the agency
- the volume of security classified information becomes too large for an agency to protect adequately, and
- security classification and associated security procedures are brought into disrepute if the security classification is unwarranted. This may lead to security classifications and protective markings in general being devalued or ignored by agency employees or receiving agencies.

For these reasons the Australian Government expects that agencies will only security classify information and preserve that security classification when there is a clear and justifiable need to do so.

To keep the volume of security classified information to a minimum, agencies should limit the duration of the security classification and set up review procedures.

3.8 Limiting the duration of the security classification

When first classifying information the originator should try to settle a specific date or event for declassification based on an assessment of the duration of the information's sensitivity. For example, Budget papers need high protection before the Budget's release but not once it is released publicly. Some information may need increased protection because it is under embargo until a specific public policy statement, after which it becomes public sector information. On reaching the date or event the information should be automatically declassified.

If the originator cannot decide an earlier specific date or event for declassification, information should be marked for declassification 10 years from the date of the original decision. This is unless the originator otherwise determines the sensitivity of the information requires that it shall be marked for declassification for up to the stated relevant open access period as stated in the Archives Act, Section 3 (7).

An agency head may exempt from declassification specific information, the release of which would or could reasonably be expected to fall under the category of an exempt document under the Archives Act, Section 33, Exempt records.

An originator may extend the duration of security classification, change the security classification, or reclassify specific information only when the protocols and guidelines for security classifying information are followed.

Information marked for an indefinite duration of security classification under predecessor orders or information classified under predecessor orders that contains no declassification instructions should be considered for declassification in accordance with this policy.

Cabinet documents are not included in such arrangements.

3.9 Review of security classification

Agencies should review the security classification of information regularly—for example, after a project or sequence of events is completed or when a file is withdrawn from, or returned to, use.

All recipients of information are encouraged to contact the originator to discuss any security classification they believe is inaccurate.

3.10 Agency security classification policy

Failure to identify information requiring increased protection or failure to provide the protective procedures required for sensitive and security classified information would constitute an unacceptable risk to the Australian Government's protective security. It may also risk the information sharing and consultative arrangements between agencies that are essential to the efficient operation of government.

It is essential that agencies respect the rule that information is protectively marked by its originator. Information received from another agency cannot have the protective markings changed without

the permission of the originating agency. Agencies receiving protectively marked information are to provide the minimum security protection standards required for that protective marking.

3.11 How to identify national security information

National security information is any official resource—including equipment—that records information about or is associated with Australia's:

- protection from espionage, sabotage, politically motivated violence, promotion of communal violence, attacks on Australia's defence system, acts of foreign interference and the protection of Australia's territorial and border integrity from serious threats
- defence plans and operations
- international relations, significant political and economic relations with international organisations and foreign governments
- law enforcement operations where compromise could hamper or make useless national crime prevention strategies or particular investigations or adversely affect personal safety, and
- national interest that relates to economic, scientific or technological matters vital to Australia's stability and integrity.

Not all information about these matters needs to be security classified. Information is only to be security classified if its compromise could damage national security, the Australian Government, commercial entities or members of the public.

A summary guide on identifying information requiring a security classification is at [Annex A: Classification and marking ready-reckoner chart](#).

3.12 How to identify other information to be security classified

Other official information that requires increased protection and does not meet the definition of national security information is most often about:

- government or agency business where compromise could affect the government's capacity to make decisions or operate, the public's confidence in government, or the stability of economic markets
- commercial interests where compromise could affect the competitive process and provide the opportunity for unfair advantage, or
- personal information that is required to be protected under the Privacy Act, the Archives Act or other legislation.

Not all information about these matters needs to be security classified. Information is only to be security classified if the compromise could cause damage.

A summary guide on identifying information requiring a security classification is at [Annex A: Classification and marking ready-reckoner chart](#).

4. Protective markings

Once information has been identified as requiring some form of protection and special handling a protective marking is to be assigned to the information. The marking indicates:

- that the information has been identified as sensitive or security classified, and
- the level of protective procedures that are to be provided during the use, storage, transmission, transfer and disposal of the information.

A protective marking indicates the required level of protection to all users of the information. The system, therefore, provides an assurance that information of broadly equivalent worth or value is given an appropriate and consistent level of protection.

Information requiring a protective marking that is held on ICT systems is to be identified in the same way as information held on other mediums—such as paper documents—and given an appropriate level of protection.

There are three types of protective markings:

- security classifications
- dissemination limiting markers (DLMs), and
- caveats.

4.1 How to security classify information

There are four levels of security classification. These classifications reflect the consequences of unauthorised disclosure of information.

4.1.1 **PROTECTED**

The PROTECTED security classification is used when the compromise of the information could cause damage to the Australian Government, commercial entities or members of the public. For instance, where compromise could:

- endanger individuals and private entities
- work substantially against national finances or economic and commercial interests
- substantially undermine the financial viability of major organisations
- impede the investigation or facilitate the commission of serious crime, or
- seriously impede the development or operation of major government policies.

4.1.2 **CONFIDENTIAL**

The CONFIDENTIAL security classification should be used when compromise of information could cause damage to national security. For instance, where compromise could:

- damage diplomatic relations—in other words, cause formal protest or other sanction
- damage the operational effectiveness or security of Australian or allied forces
- damage the effectiveness of valuable security or intelligence operations
- disrupt significant national infrastructure, or
- damage the internal stability of Australia or other countries.

Most national security information would be adequately protected by the procedures given to information marked CONFIDENTIAL or by agency specific procedures given to information marked **For Official Use Only**.

4.1.3 SECRET

The SECRET security classification should be used when compromise of information could cause serious damage to national security, the Australian Government, nationally important economic and commercial interests, or threaten life. For instance, where compromise could:

- raise international tension
- seriously damage relations with other governments
- seriously damage the operational effectiveness or security of Australian or allied forces
- seriously damage the continuing effectiveness of highly valuable security or intelligence operations
- threaten life directly
- seriously prejudice public order
- substantially damage national finances or economic and commercial interests
- shut down or substantially disrupt significant national infrastructure, or
- seriously damage the internal stability of Australia or other countries.

This marking should only be used sparingly.

4.1.4 TOP SECRET

The TOP SECRET security classification requires the highest degree of protection as compromise of information could cause exceptionally grave damage to national security. For instance, where compromise could:

- threaten directly the internal stability of Australia or other countries
- lead directly to widespread loss of life
- cause exceptionally grave damage to the effectiveness or security of Australian or allied forces
- cause exceptionally grave damage to the effectiveness of extremely valuable security or intelligence operations
- cause exceptionally grave damage to relations with other governments, or
- cause severe long-term damage to the Australian economy.

Very little information warrants this marking and it should be used with the utmost restraint. For more information see *Australian Government information security management guidelines—Marking and handling accountable material, including TOP SECRET information* to be released shortly.

4.2 How to use dissemination limiting markers

Dissemination limiting markers (DLMs) are markings for information where disclosure may be limited or prohibited by legislation, or where it may otherwise require special handling.

Although agencies are responsible for determining the appropriate protections to be applied to information bearing DLMs—except Sensitive: Cabinet—they are to ensure that the following principles of good information security practice are applied:

- information can only be released to organisations and individuals with a demonstrated need to know
- information is to be stored and processed away from public access
- the removal of information from agency premises is on the basis of identified need
- disposal of information is by secure means, and
- transmission and transfer of information is to be by means which deter unauthorised access—for example, external mail is sealed and electronic transmission is in accordance with ISM requirements.

The following five categories of DLM are used:

- For Official Use Only (FOUO)
- Sensitive
- Sensitive: Personal
- Sensitive: Legal, and
- Sensitive Cabinet.

Agencies can choose whether to use DLMs—other than Sensitive: Cabinet—on a case-by-case basis. The presence or absence of such a marking will not affect a document’s status under FOI Act.

4.2.1 For Official Use Only (FOUO)

For Official Use Only (FOUO) may be used on unclassified information only, when its compromise may cause limited damage to national security, Australian Government agencies, commercial entities or members of the public.

For example, an FOUO document might be a tender response.

4.2.2 Sensitive

Sensitive may be used with security classified or unclassified information:

- where the secrecy provisions of enactments may apply, and/or
- the disclosure of which may be limited or prohibited under legislation.

4.2.3 Sensitive: Personal

Sensitive: Personal may be used with security classified or unclassified information that is sensitive personal information. (This aligns with the definition of **sensitive information** in Section 6 of the Privacy Act.)

For example: a **Sensitive: Personal** document would protect information such as fact or opinion about an individual including their sexual preference, health status or political beliefs.

4.2.4 Sensitive: Legal

Sensitive: Legal may be used for any information that may be subject to legal professional privilege.

4.2.5 ***Sensitive: Cabinet***

Sensitive: Cabinet is to be applied to:

- any document including but not limited to business lists, minutes, submissions, memoranda and matters without submission that is or has been:
 - submitted or proposed to be submitted to Cabinet, or
- official records of Cabinet
- any other information that would reveal:
 - the deliberations or decisions of Cabinet, or
 - matters submitted, or proposed to be submitted to Cabinet.

Any use of the DLM '**Sensitive: Cabinet**' is to be accompanied by a security classification protective marker of at least PROTECTED level.

For more information see [5 Cabinet documents](#).

A summary guide on identifying information requiring a marking is at [Annex A: Classification and marking ready-reckoner chart](#).

4.3 **How to use caveats**

Certain security classified information, most notably some national security classified information, may bear a security caveat in addition to a security classification. The caveat is a warning that the information has special requirements in addition to those indicated by the protective marking.

Caveats are not classifications in their own right and are not to appear without the appropriate protective marking. Those people who need to know will be cleared and briefed about the significance of this type of information. Other people are not to have access to this information.

Information bearing agency specific caveats are to be re-labelled or appropriate procedures agreed before release or transmission outside of that agency.

The prior agreement of the originating agency—in other words, the agency that originally placed the caveat on the material—is required to remove a caveat. If the originating agency will not agree to the removal of the caveat then the information cannot be released. The requirement to obtain agreement of the originating agency to release the material cannot be the subject of a policy exception under any circumstances.

The following categories of security caveat are used:

- codewords
- source codewords
- Eyes Only
- Australian Government Access only
- Releasable to
- special handling caveats, and
- Accountable Material.

4.3.1 Codewords

A codeword is a word indicating that the information it covers is in a special **need to know** compartment.

It is often necessary to take precautions beyond those normally indicated by the security classification to protect that information. These will be specified by the organisation that owns it—for instance, those with a need to access the information will be given a special briefing first.

The codeword is chosen so that its ordinary meaning is unrelated to the subject of the information.

4.3.2 Source codewords

A source codeword is a word or set of letters used to identify the source of certain information without revealing it to those who do not have a need to know.

4.3.3 Eyes Only

The **Eyes Only** marking indicates that access to information is restricted to certain nationalities, for instance:

- **AUSTEO** means Australian Eyes Only
- **AUST/US EO** means Australian and US Eyes Only.

Any information marked Eyes Only cannot be passed to or accessed by nationals who are not listed in the marking.

Access to information marked with the AUSTEO caveat can only be passed to appropriately security cleared Australian citizens, including officers of the Australian Government, on a need to know basis.

Foreign nationals cannot be allowed access to AUSTEO information, even if they have the appropriate Australian security clearance. If an agency head considers that foreign nationals should be given information to which the caveat AUSTEO applies, the agency head is to first consult with the originating agency to see if the caveat is still required or whether it could be modified to enable release. It may be possible to have the caveat removed or to release part of the information by removing the caveat from that part.

The prior agreement of the originating agency—in other words, the agency that originally placed the AUSTEO caveat on the material—is required to remove an AUSTEO caveat. If the originating agency will not agree to the removal of the AUSTEO caveat then the information cannot be released to foreign nationals. The requirement to obtain originating agency agreement to release AUSTEO material cannot be the subject of a policy exception under any circumstances.

A person who has dual nationality may be given AUSTEO-marked information as long as they were born in Australia or otherwise hold Australian citizenship.

4.3.4 Australian Government Access Only (AGAO)

In limited circumstances **AGAO** is used by the Department of Defence and ASIO. It means these agencies may pass information marked with the AGAO caveat to appropriately cleared representatives of foreign governments on exchange or long-term posting or attachment to the Australian Government. AGAO material received in other agencies is to be handled as if it were marked AUSTEO.

4.3.5 Releasable to

The caveat **RELEASABLE TO** identifies information that has been released or is releasable to the indicated foreign countries only—for example, **REL UK,NZ** means that the information may be passed to the United Kingdom and New Zealand only.

RELEASABLE TO markings are to employ the appropriate two letter country codes from the [ISO 3166-1 Codes for the representation of names of countries and their subdivisions—Part 1: Country codes](#).

4.3.6 Special handling caveats

A special-handling caveat is a collection of various indicators such as operation codewords, instructions to use particular communications channels and **EXCLUSIVE FOR (named person)**. This caveat is usually used only within particular need to know compartments.

There are special requirements for some caveat or codeword information. These are determined by the controlling agency and provided on a need to know basis.

4.3.7 Accountable Material

If strict control over access to, and movement of, particularly sensitive information is required, originators can make this information **Accountable Material**. What constitutes Accountable Material will vary from agency to agency, but could include Budget papers, tender documents and sensitive ministerial briefing documents.

Accountable Material is subject to the following conditions:

- the marking 'Accountable Material' can be in bold print on the front cover of the material—not necessary for Cabinet documents, TOP SECRET information and codeword material
- it is to carry a reference and individual copy number—agencies could also consider making each page accountable by numbering (for example, page 3 of 10), and placing the document copy number on each page
- it is to carry a warning such as: not to be copied without the prior approval of the originator
- it is only to be passed by hand or safe hand—if it is passed to another person, a receipt is to be obtained, and
- a central register is to be maintained of all persons having access to each accountable document—this central register is separate from the movement record which forms part of the document or file.

5 Cabinet documents

Documents used by Cabinet to formulate policy and make decisions require special protective measures.

This is because Cabinet documents, unlike other official information, belong to the particular governments that create them. They are integral to the process by which governments make decisions and they constitute the record of those decisions.

Any unauthorised disclosure damages the openness and frankness of discussions in the Cabinet Room and thereby impedes the process of good government.

5.1 Security classifying and marking Cabinet documents

All documents prepared for consideration by Cabinet, including those in preparation are, as a minimum, to be marked **Sensitive: Cabinet** and carry the security classification protective marker **PROTECTED**, regardless of any other security consideration, for example:

PROTECTED
Sensitive: Cabinet

Cabinet documents can require a higher level of protection depending on whether their subject matter is considered a national security issue. In this case the Cabinet document is to show, immediately before the dissemination limiting marker **Sensitive: Cabinet**, one of the higher protective markings, for example:

SECRET
Sensitive: Cabinet

For more information see Section [4.2.5 Sensitive: Cabinet](#).

6 Foreign government information (FGI)

Where information is provided in accordance with a bilateral security instrument for the reciprocal protection of exchanged classified information, it is to be given the equivalent Australian protective security marking.

The appropriate classification will assure protection equivalent to, but not less than, that required by the government providing the information.

Foreign government information cannot be released to third parties without the prior written approval of the foreign government.

Where security classified information is received from another country with which Australia does not have a bilateral security instrument, the Australian security classification to be applied will need to be determined on a case-by-case basis.

The Diplomatic Security and Services Branch of DFAT or the Department of Defence's Defence Security Authority may be consulted for assistance when determining the correct level of protection.

Further implementation guidance can be found in the *Australian Government information security management guidelines—Foreign government information* due for release shortly.

Annex A: Classification and marking ready-reckoner chart

