

U.S. Department of Energy
Washington, D.C.

ORDER

DOE O 471.1A

Approved: 6-30-00
Sunset Review: 6-30-02
Expires: 6-30-04

**SUBJECT: IDENTIFICATION AND PROTECTION OF UNCLASSIFIED
CONTROLLED NUCLEAR INFORMATION**

1. OBJECTIVE. To prevent the unauthorized dissemination of Unclassified Controlled Nuclear Information (UCNI).
2. CANCELLATION. DOE O 471.1, IDENTIFICATION AND PROTECTION OF UNCLASSIFIED CONTROLLED NUCLEAR INFORMATION, dated 9-25-95.
3. APPLICABILITY.
 - a. DOE Elements. This Order applies to all DOE elements, including the National Nuclear Security Administration (NNSA), that may generate, possess, or have access to information or matter containing UCNI.
 - b. Contractors. The Contractor Requirements Document (CRD), Attachment 1, sets forth requirements to be applied to DOE, including NNSA, contractors that may generate, possess, or have access to information or matter containing UCNI. Contractor compliance with the CRD is required to the extent set forth in a contract.
4. REQUIREMENTS. Detailed requirements for identifying and protecting UCNI are contained in DOE M 471.1-1, IDENTIFICATION AND PROTECTION OF UNCLASSIFIED CONTROLLED NUCLEAR INFORMATION MANUAL.
 - a. Any person who originates or possesses unclassified matter that may contain UCNI must send the unclassified matter to a Reviewing Official.
 - b. A Reviewing Official (see DOE M 471.1-1, Chapter I, Part B) determines whether matter contains UCNI and marks or authorizes it to be marked as required in DOE M 471.1-1, Chapter I, Part C.
 - c. A Denying Official (see DOE M 471.1-1, Chapter I, Part B) determines whether matter requested under statute or Executive order is exempt from release based on a Reviewing Official's recommendation and applicable UCNI guidelines.

DISTRIBUTION:
All Departmental Elements

INITIATED BY:
Office of Security Affairs

- d. Access to UCNI must be provided to only those individuals authorized for routine or special access (see DOE M 471.1-1, Chapter II).
- e. Physical protection requirements for UCNI are contained in DOE M 471.1-1, Chapter II.

5. RESPONSIBILITIES.

a. Director of Security Affairs.

- (1) Oversees the program to identify and protect UCNI.
- (2) Determines whether a material is a “nuclear material” under 10 Code of Federal Regulations (CFR) 1017.10.
- (3) Determines whether any portion of a document requested under statute or Executive order that was initially denied because it contained UCNI still contains UCNI and must still be denied.

b. Director of Nuclear and National Security Information.

- (1) Administers the program to identify UCNI (see DOE M 471.1-1, Chapter I).
- (2) Determines whether specific Government information is UCNI as the Controlling Official under 10 CFR 1017.7.
- (3) Develops and issues the UCNI General Guideline and all Topical Guidelines; approves all UCNI guidelines.
- (4) Trains and designates Reviewing Officials for Headquarters elements and their contractors and for any organization or contractor with no Classification Officer.
- (5) Trains and designates Reviewing Officials who may review matter for UCNI that is not under their own programmatic or organizational cognizance.
- (6) Resolves disagreements between Reviewing and/or Denying Officials about whether matter contains UCNI.
- (7) Issues, and makes available upon request to any interested person, a quarterly report describing and justifying Government information determined to be UCNI during the previous quarter.

- (8) Manages the UCNI oversight program to ensure that DOE and NNSA elements and their contractors that generate information or matter containing UCNI effectively carry out those requirements in DOE M 471.1-1 concerning the identification of UCNI.
- c. Director of Safeguards and Security. Administers the program to protect UCNI (except for information being processed, stored, or transmitted in unclassified automated information systems). See DOE M 471.1-1, Chapters II and III.
 - d. Chief Information Officer. Administers the program to protect UCNI being processed, stored, or transmitted in unclassified automated information systems.
 - e. Heads of Program and Support Offices within DOE and NNSA and Managers of Field Elements.
 - (1) Ensure that the necessary staff are designated to fulfill the requirements contained in this Order.
 - (2) Identify/appoint an individual to determine which contracts (including M&O contracts, M&I contracts, non-M&O contracts, etc.) are subject to the requirements contained in the CRD attached to this Order and ensure that the CRD is incorporated in those contracts (when next modified or extended, but not later than 6 months from the date of this Order). If the requirements contained in the CRD are considered prohibitively expensive, then an existing contract may need to be terminated or renegotiated.
 - (3) Identify/appoint an individual to be responsible for notifying the contracting officer of each new procurement falling within the scope of the CRD attached to this Order. If such an individual is not identified or appointed, the person originating the procurement request assumes this responsibility.
 - f. Field Element Classification Officers (see DOE M 475.1-1, IDENTIFYING CLASSIFIED INFORMATION).
 - (1) Administer the UCNI identification program for their field elements.
 - (2) Are Reviewing Officials and may train and designate other Reviewing Officials from their organizations, subordinate organizations, and contractors under their cognizance.
 - (3) May overrule UCNI determinations made by Reviewing Officials under their cognizance.

- g. Deputy Administrator for Naval Reactors. Implements and oversees all policy and practices pertaining to this Order for activities under the Deputy Administrator's cognizance.
- h. Individuals Originating Procurement Requests (or such other individuals identified/appointed by the cognizant head of the DOE/NNSA element).
 - (1) Bring to the attention of the cognizant contracting officer the following:
 - (a) each procurement requiring the inclusion of all or part of the CRD attached to this Order and
 - (b) flowdown requirements to any subcontract or subaward.
 - (2) Identify the UCNI guidelines that apply to each proposed contract or subcontract action.
- i. Contracting Officers. Based on advice received from the person originating a procurement request or the individual identified/appointed by the head of the cognizant DOE/NNSA element, apply requirements contained in the CRD attached to this Order to DOE contractors.

6. REFERENCES.

- a. DOE M 471.1-1, IDENTIFICATION AND PROTECTION OF UNCLASSIFIED CONTROLLED NUCLEAR INFORMATION MANUAL, dated 6-30-00.
- b. DOE M 475.1-1, IDENTIFYING CLASSIFIED INFORMATION, dated 5-8-98.
- c. 10 CFR PART 1017, IDENTIFICATION AND PROTECTION OF UNCLASSIFIED CONTROLLED NUCLEAR INFORMATION.

7. DEFINITIONS.

- a. Matter. Any combination of documents or material.
- b. Unclassified Controlled Nuclear Information. Certain unclassified but sensitive Government information concerning nuclear material, weapons, and components whose dissemination is controlled under section 148 of the Atomic Energy Act.

8. CONTACT. Direct any questions regarding this Order to the Office of Nuclear and National Security Information, 301-903-5454, or to the Office of Safeguards and Security, 301-903-4805, as appropriate.

BY ORDER OF THE SECRETARY OF ENERGY:



T. J. GLAUTHIER
DEPUTY SECRETARY

CANCELED

ATTACHMENT 1

CONTRACTOR REQUIREMENTS DOCUMENT

DOE O 471.1A, IDENTIFICATION AND PROTECTION OF UNCLASSIFIED CONTROLLED NUCLEAR INFORMATION, dated 6-30-00

In the performance of this contract, the contractor is responsible for complying with the following requirements and for flowing down all requirements to subcontractors:

1. If the contractor has a formally designated Classification Officer, the Classification Officer—
 - a. serves as a Reviewing Official for information under his/her cognizance;
 - b. trains and designates other Reviewing Officials in his/her organization, subordinate organizations, and subcontractors and maintains a current list of all Reviewing Officials; and
 - c. may overrule UCNI determinations made by Reviewing Officials under his/her cognizance.
2. If the contractor has no formally designated Classification Officer, the contractor submits a request for the designation of Reviewing Officials to the local Federal Classification Officer (for Headquarters, this is the Director of Nuclear and National Security Information) in accordance with the instructions contained in DOE M 471.1-1, Chapter I, Part B.
3. The contractor's Reviewing Officials use appropriate UCNI guidelines (i.e., General Guideline, Topical Guidelines, Internal Guidelines; see DOE M 471.1-1, Chapter I, Part A) to review matter and identify what specific Government information is UCNI, in accordance with the instructions contained in DOE M 471.1-1, Chapter I, Part B.
4. The contractor develops and issues UCNI internal guidelines, as necessary and with the approval of the local Federal Classification Officer, if appropriate, and the Director of Nuclear and National Security Information, in accordance with the instructions contained in DOE M 471.1-1, Chapter I, Part A.
5. The contractor's Reviewing Officials apply or authorize the application of UCNI markings to any unclassified matter that contains UCNI in accordance with the instructions contained in DOE M 471.1-1, Chapter I, Part C.

6. The contractor ensures that access to UCNI is provided to only those individuals authorized for routine or special access (see DOE M 471.1-1, Chapter II).
7. The contractor ensures that matter identified as UCNI is protected in accordance with the instructions contained in DOE M 471.1-1, Chapter II.
8. The contractor reports to the facility security office any incidents involving the unauthorized disclosure of UCNI.

CANCELED