

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

**ORDER**

DOE 5630.8A

7-31-90

**SUBJECT: SAFEGUARDING OF NAVAL NUCLEAR PROPULSION INFORMATION**

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1. PURPOSE. To promulgate the official definition of naval nuclear propulsion information (NNPI), to outline disclosure policies and general safeguarding requirements for such information, and to establish requirements for disposal of material which contains NNPI.
2. CANCELLATION. DOE 5630.8, SAFEGUARDING OF NAVAL NUCLEAR PROPULSION INFORMATION, of 12-27-82.
3. SCOPE. The provisions of this Order apply to all Departmental Elements, and to contractors, subcontractors, and consultants who originate, receive, process, handle, store, transmit, dispose of, or are otherwise entrusted with the custody of, or have access to, naval nuclear propulsion information, and whose contracts contain provisions that require conformance with the provisions of this Order.
4. REFERENCES.
  - a. CG-RN-1, Revision 1, ERDA-DOD Classification Guide for the Naval Nuclear Propulsion Program, and Interpretive Guidance Bulletins (classified documents under the control of the Office of Naval Reactors), which provide classification guidance for all information dealing with naval nuclear propulsion.
  - b. DOE 1360.2A, UNCLASSIFIED COMPUTER SECURITY PROGRAM, of 5-20-88, which establishes requirements for processing sensitive unclassified information on DOE computer systems.
  - c. DOE 5635.1A, CONTROL OF CLASSIFIED DOCUMENTS AND INFORMATION, of 2-12-88, which establishes standards and procedures for safeguarding classified documents and information to ensure that only authorized personnel with a need-to-know are permitted access to such documents and information, and to prevent loss or compromise of classified documents and information.
  - d. DOE 5635.4, PROTECTION OF UNCLASSIFIED CONTROLLED NUCLEAR INFORMATION, of 2-3-88, which establishes policy and procedures for the protection of Unclassified Controlled Nuclear Information (UCNI).
  - e. DOE 5637.1, CLASSIFIED COMPUTER SECURITY PROGRAM, of 1-29-88, which establishes requirements for processing classified material in automatic data processing (ADP) systems.

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All Departmental Elements

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Office of Naval Reactors

- f. DOE 5650.2A, CLASSIFICATION OF INFORMATION, of 5-8-85, which establishes responsibilities, authorities, policy, and procedures for managing the DOE classification system.
- g. DOE 5650.3, IDENTIFICATION OF UNCLASSIFIED CONTROLLED NUCLEAR INFORMATION, of 2-29-88, which establishes the requirements for the identification, handling, and control of unclassified controlled nuclear information (UCNI).
- h. National Policies and Procedures for the Disclosure of Classified Military Information to Foreign Governments and International Organizations, NDP-1/8 (a classified document under the control of the Department of Defense), which provides guidance for dissemination of classified information to foreign governments.
- i. Title 32 CFR 250, Withholding of Unclassified Technical Data From Public Disclosure, which implemented 10 U.S.C. 130 requirements to protect sensitive unclassified information belonging to the Department of Defense and having a space or military application.

5. DEFINITIONS.

- a. Naval Nuclear Propulsion Information, is defined as that information, classified or unclassified, concerning the design, arrangement, development, manufacture, testing, operation, administration, training, maintenance, and repair of the propulsion plants of naval nuclear-powered ships and prototypes, including the associated nuclear support facilities. Information concerning equipment, components, or technology which are applicable to both Naval nuclear and conventional propulsion plants is not considered to be NNPI when used in reference to conventional applications only, provided no association with naval nuclear propulsion can be directly identified from the information in question. In cases where an association with naval nuclear propulsion can be directly identified from the information in question, designation of the information as NNPI mandatory. More specific guidance on what constitutes NNPI will be provided on a case basis by the Deputy Assistant Secretary for Naval Reactors, or delegate, upon request by those Departmental Elements requiring it to properly and effectively implement the provisions of this Order.
- b. Foreign National, for the purpose of this Order, includes any person not a U.S. citizen or U.S. national, and any U.S. citizen and U.S. national representing foreign governments, foreign private interests, or other foreign nationals. Note that this definition of foreign nationals includes immigrant aliens.

6. GENERAL POLICY ON ALLOWING ACCESS TO NNPI. Since the naval nuclear propulsion program and naval nuclear-powered ships are of critical importance to the defense of the United States, the technology used to design, build, and support these ships is an obvious target for hostile intelligence

organizations. Recognizing its special nature, this information is protected pursuant to export control requirements and statute (reference (i)). Thus, it is important that special care be taken to avoid unauthorized access to NNPI which would facilitate the success of hostile intelligence collections efforts.

a. Control of NNPI.

- (1) Government Personnel. Access to NNPI, classified or unclassified, shall be restricted, in accordance with applicable law, to those individuals who are U.S. citizens and have an established need to know such information in order to complete their officially assigned duties involving the naval nuclear propulsion program. Access to NNPI shall not be granted to personnel in the executive branch of the Government (except for those personnel assigned to or performing work involving the naval nuclear propulsion program) without advance approval of the Deputy Assistant Secretary for Naval Reactors, or delegate. Access to NNPI shall not be granted solely on the basis of Government employment.
- (2) Contractor Personnel. Access to NNPI, classified or unclassified, shall not be granted to contractors or subcontractors (including consultants) of the Department of Energy without the advance approval of the Deputy Assistant Secretary for Naval Reactors, or delegate, except when such access is required in the performance of naval nuclear propulsion program tasks. Access will be restricted to those personnel who are U.S. citizens and have a need to know in connection with a Government contract or subcontract. Field organizations of the Office of Naval Reactors will establish procedures approved by the Deputy Assistant Secretary for Naval Reactors, or delegate, to restrict access of NNPI to authorized contractor personnel, and will establish appropriate security measures pertaining to such access. These procedures shall also require that this Order be invoked in any contract or subcontract involving NNPI.

- b. Records and Documents Containing NNPI. Release of any document or record containing NNPI, or the information therein, where such release will result in the material no longer being subject to the requirements of this Order or equivalent controls, shall not be made without the advance approval of the Deputy Assistant Secretary for Naval Reactors (NE-60), or delegate. NE-60, or delegate, shall ensure any such proposed release is reviewed in accordance with current Department of Energy, Department of the Navy, and industrial security control requirements, and applicable law. Any document or record prepared by or for the Department of Energy for general and unlimited distribution and which involves matters pertaining to naval nuclear propulsion shall not contain any classified or unclassified NNPI, nor any specific reference to any other document or records which contain NNPI. Records or documents prepared by or for the Department of Energy not intended for general and unlimited distribution, where necessary, may have any NNPI segregated from other information presented so as to facilitate control of access to NNPI as described in this Order.

7. REQUIREMENTS AND PROCEDURES. The provisions of this Order are applicable to all information, classified or unclassified, falling within the definition of naval nuclear propulsion information. If there is uncertainty with respect to whether the information in question is properly categorized as NNPI, the information shall be considered as falling within the scope of the definition of NNPI until clarification is obtained from the Office of Naval Reactors as discussed in paragraph 5a.
- a. General Procedural Guidance. Subparagraph d, below, delineates specific requirements concerning visits to facilities containing NNPI and access to NNPI. In general, these requirements stipulate that the approval of the Deputy Assistant Secretary for Naval Reactors, or delegate, is required unless otherwise indicated. When such approval is required, the person or organization requesting approval shall contact the Office of the Deputy Director, Office of Naval Reactors, for guidance concerning specific actions needed to allow the proposed visit to be made. Such requests, as a rule, should be made well in advance of the requester's need date.
- b. General Security Classification Guidance and Handling Requirements. General security classification guidance, which may apply to certain NNPI, may be found in reference 4f, and additional detailed guidance may be found in reference 4a. General requirements on the handling of classified and sensitive unclassified information may be found in references 4b, 4c, 4e, and 4h.
- c. Security Classification Markings and Special Handling Requirements. Disclosure restrictions for controlling the dissemination of NNPI shall be complied with even though documents containing NNPI might not have been marked with warning notices. Special handling and disclosure restrictions for naval nuclear propulsion information have been in effect since the inception of the Naval Nuclear Propulsion Program, and have been applied to both classified and unclassified documents containing naval nuclear propulsion information. To assist in maintaining control over this information, special warning markings were placed on those documents which had the potential for distribution beyond those organizations in the Naval Nuclear Propulsion Program which were familiar with the naval nuclear propulsion information controls. Within the Program, the large majority of documents were not marked with special warning notices. However, with the enactment of recent federal statutes mandating protective measures for a range of sensitive military technology, including naval nuclear propulsion information, use of such warning notices on documents containing naval nuclear propulsion information produced subsequent to issuance of this instruction is required. This change in marking policy is in consonance with Department of the Navy requirements, and does not relieve any party possessing naval nuclear propulsion information of the responsibility to comply with the disclosure restrictions set forth in this instruction, whether or not the documents containing naval nuclear propulsion information are marked with a warning notice. Moreover,

this marking requirement is prospective, i.e., documents created subsequent to the date of receipt of this instruction which contain naval nuclear propulsion information shall be marked; existing documents containing such information need only be marked at the discretion of the holder to ensure their proper control.

- (1) Security Classification Markings. General guidelines and procedures for marking classified documents and information, including classified NNPI, are contained in reference c.
- (2) Special Handling Markings. One of the following special warning notations shall be used on documents containing classified or unclassified NNPI to assist activities in controlling dissemination of this information. Further, photographs and negatives containing NNPI shall be marked with one of the notations below. Use of these notations on documents marked as containing Restricted Data is not required.
  - (a) "Special Handling Required - Not releasable to Foreign Nationals."
  - (b) "NOFORN." (No foreign nationals.)
  - (c) "This document is subject to special export controls and each transmittal to foreign governments or foreign nationals may be made only with the prior approval of the U.S. DOE."

d. Visits to Facilities Engaged in Naval Nuclear Propulsion Work.

- (1) General. Visits to naval and commercial facilities performing naval nuclear propulsion work present unique security problems due to the need to protect both classified and unclassified NNPI from unauthorized release. An example of the type of facility where protection is difficult is in shipyards engaged in repair, overhaul, and construction of Navy nuclear-powered ships, since the overall scope and complexity of this work is not always compatible with normal security control measures. A principal method of control for these shipyards is to identify and isolate from unauthorized access those areas within the facility which reveal NNPI. It is recognized that the security program implemented to protect NNPI may differ between various facilities in order to account for the differences in the physical plants, the type of work being performed, and the kind of personnel access control procedures in effect. In all cases, however, facility management is responsible for establishing a safeguards program which will assure compliance with the disclosure policy of paragraph 6 for NNPI furnished to them or originated by their organization.

- (2) Visits by U.S. Citizens. The security provisions of applicable Government contracts outline the required conditions, procedures, and responsibilities for visit approval.
- (3) Visits by Foreign Nationals.
- (a) The security provisions of applicable Government contracts apply. In addition, visits by foreign nationals to facilities which possess NNPI and where such visits could result in disclosure of NNPI require the specific approval of the Deputy Assistant Secretary for Naval Reactors, or delegate. This approval shall be obtained prior to the issuance of invitations or other commitments in order to avoid embarrassing situations, should denial be necessary. Requests for approval should contain comments on the feasibility of satisfying the following special conditions:
- 1 The visitor shall be kept under close continuous surveillance at all times while he or she is within the physical confines of the facility.
  - 2 Visual, oral, and documentary disclosures of NNPI shall be prevented or limited, as appropriate, by the isolation of areas, materials, or personnel that could divulge NNPI
  - 3 The visit shall be accomplished without adverse effect on the facility's naval nuclear-propulsion workload, scheduling, or other critical management factors.
- (b) The special conditions provided in paragraph 7d (3)(a), for foreign national visits are not required for those foreign nationals who are approved, in accordance with applicable regulations, to perform facility work on a continuing basis. Further, it is recognized that in some instances foreign nationals may be able to gain access to or near facilities, specifically those which in addition to naval nuclear work perform other diverse functions, without being subject to formal access approval. This may include employees of the facility who are foreign nationals. In such cases, it is the responsibility of local management to maintain adequate controls, particularly concerning the isolation of areas or material and the control of personnel employed at the facility, to preclude unauthorized disclosure of NNPI.
- (c) Foreign nationals shall not be permitted access to the propulsion plant spaces of Navy nuclear-powered warships or prototypes without the specific approval of the Deputy Assistant Secretary for Naval Reactors.

e. Disposals.

- (1) Unclassified Documents Containing Naval Nuclear Provision Information. Whenever feasible, unclassified documents or other media containing NNPI shall be disposed of in the same manner as classified documents. When disposal in this manner is not feasible, the activity concerned is responsible for devising an alternative method which will provide an adequate degree of control during and after disposal. Specific methods will depend on local conditions, and may include commercial or public trash collection arrangements, provided the method used affords reasonable protection against unauthorized diversion or recovery of the documents concerned. The cognizant field organization of the Office of Naval Reactors shall be informed by the activity disposing of NNPI of the method selected for disposal.
- (2) Naval Nuclear Propulsion Plant Hardware Containing NNPI or Indicating Applicability to Naval Nuclear Propulsion.
  - (a) Prior to disposal of naval nuclear propulsion plant components, equipment, parts, or material, classified or unclassified, which contain NNPI or indicate application to naval nuclear propulsion, all markings (such as stock number, nameplate data, special material identification code (SMIC), tags, stickers, transfer documents, and meter face markings) which relate the item to naval nuclear propulsion must be removed or obliterated. If after removal or obliteration of such markings, the unclassified item still contains NNPI, the item shall be disposed of in the same manner as classified material. Classified items should be disposed of in accordance with reference 4c or requirements specified in applicable Government contracts. CG-RN-1 shall be used for determining classification of naval nuclear propulsion plant components.
  - (b) In view of stringent controls for the disposal of radioactive waste, and in order to minimize radiological work, unclassified nuclear propulsion plant material being disposed of as radioactive waste need not have those markings removed or obliterated if radiation exposure would be required. Similarly, classified radioactive components being disposed of in Government-owned burial grounds need not have markings removed if radiological work is required.
  - (c) Unused but no longer required reactor plant material provided under contracts or subcontracts as Government furnished equipment shall be handled in accordance with this Order and specific instructions obtained from the DOE field organization responsible for the applicable prime contractor.

- (d) Prior to any disposal of nuclear propulsion plant material, a designated senior nuclear engineer at each activity shall be required to formally verify that the material is not required for future use by that activity and is to be disposed of in accordance with the requirements of this Order. Such verification must be documented and retained locally for at least 3 years.
- (e) Disposal of NNPI in the form of documents, as opposed to components, equipment, parts, and material which are covered in this Order, shall be in accordance with the procedures provided in paragraph 7e(1).
- (f) For naval reactor prototype plants, the following guidelines apply in addition to other requirements of this Order.

1 Unless specifically authorized by the Deputy Assistant Secretary for Naval Reactors, or delegate, prototype naval reactor plant components assigned U. S. Navy 2S cognizant, SMIC X1 national stock numbers shall not be disposed of unless first sent to a designated naval shipyard for disposition by the Office of Naval Reactors. When the Office of Naval Reactors desires to dispose of such components, a formal scrap directive will be provided to the naval shipyard. Naval shipyard disposal actions on such scrap directives are governed by applicable Navy regulations.

2 U. S. Navy H Cognizance, Ships Parts Control Center controlled SMIC X2, X3, or X4 material shall be handled in accordance with instructions provided by Ships Parts Control Center (code 870) and this Order.

8. RELATIONSHIP TO UNCLASSIFIED CONTROLLED NUCLEAR INFORMATION (UCNI). A small subset of naval nuclear propulsion information also falls into the Unclassified Controlled Nuclear Information (UCNI) category. Specifically, unclassified naval nuclear propulsion information pertaining to the reactor plants of naval nuclear propulsion plants is UCNI. Documents containing such information shall be marked and controlled as naval nuclear propulsion information as required by this Order, but shall also be marked as UCNI on their first pages. The Office of the Deputy Assistant Secretary for Naval Reactors shall be consulted as needed by affected DOE offices for additional guidance pertaining to the handling and protection of UCNI that is also naval nuclear propulsion information.



JIM E. TARRO  
Director of Administration and  
Human Resource Management