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NAVSUBSCOLINST 5510.9  
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NAVSUBSCOL INSTRUCTION 5510.9

Subj: SECURITY PROCEDURES GOVERNING THE PROTECTION AND HANDLING  
OF NATO CLASSIFIED INFORMATION AND MATERIAL

Ref: (a) NAVSUBSCOLINST 5510.3F  
(b) NAVSUBSCOLINST 5530.2D  
(c) OPNAVINST C5510.101D

Encl: (1) NATO Briefing  
(2) NATO Classified Material Access Certificate

1. Purpose. To promulgate security procedures governing the protection and handling of NATO classified information and material within Naval Submarine School, in accordance with references (a), (b), and (c).

2. Scope. This instruction is applicable to all personnel assigned to Naval Submarine School who are required by their duties to have access to NATO classified material. Access must be confined to those who have an absolute "need-to-know". No person is entitled to have access by virtue of his/her rank or position. In each case, the "need-to-know" must be established and shall be determined by the individual having possession, knowledge or command control of the information involved, and not by the prospective recipient. Prior to the granting of access, personnel will be made aware of the penalties and ramifications of enclosure (1).

3. General

a. Extracts of NATO classified documents may be included, if necessary, in United States papers requiring action by persons who have not been authorized to have access to NATO classified information. Such extracts will not be marked "NATO". In order to ensure that the extracts are properly protected, such papers must be given an appropriate United States security classification and must be distributed only on a "need-to-know" basis.

b. Reproduction of NATO documents classified NATO SECRET and below can be authorized by the appropriate department head unless specifically prohibited by the document. Such copies shall be accounted for in accordance with procedures set forth in reference (a).

c. Containers with NATO material will have no indication on the outside of the subject matter.

4. NATO Material

a. NATO CONFIDENTIAL and NATO RESTRICTED material shall be handled, safeguarded and stowed in accordance with the same regulations prescribed for U.S. CONFIDENTIAL material, as set forth in reference (a).

b. NATO SECRET material will be safeguarded and stored in accordance with the same regulations prescribed for U.S. SECRET material, as set forth in reference (a).

c. Any person receiving a NATO classified document shall be responsible for its safe custody and shall ensure that it is securely stowed at all times, when not in use. Stowage facilities shall be so arranged that NATO documents are not intermingled with U.S. documents. Only personnel authorized access to NATO classified information shall be permitted access to NATO documents or stowage facilities.

5. Transmission

a. U.S. documents may be transmitted with NATO documents provided they are placed in separate inner envelopes and marked accordingly.

b. NATO SECRET and NATO CONFIDENTIAL documents shall be transmitted in double envelopes via U.S. registered mail. The inner cover will be clearly marked "NATO" together with the appropriate security classification.

c. The requirements for transmission of NATO RESTRICTED are the same as for U.S. CONFIDENTIAL. NATO UNCLASSIFIED requires no special handling other than it may not be released to the press as a U.S. press release.

6. Loss or Compromise of NATO Classified Material. Whenever NATO Classified material is lost, compromised, or subjected to compromise, refer to the procedures set forth in paragraph 1-4 of reference (b).

7. Inventories. NATO SECRET documents will be inventoried:

a. annually;

b. upon relief of Commanding Officer;

- c. upon relief of Department Head;
  - d. upon relief of Department Classified Material Subcustodian.
8. Page Checks. All NATO Secret documents will be page checked:
- a. upon receipt by department subcustodian;
  - b. upon entry of a page change.
9. Destruction
- a. NATO Classified documents will be destroyed in accordance with paragraph 3-1 of reference (a).
  - b. NATO documents will be placed on a separate destruction report from U.S. documents and will be filed in a separate folder from U.S. destruction reports.
  - c. A classified Material Destruction Report (OPNAV form 5511/12) must be used to document the destruction of NATO documents and the destruction of residue resulting from changes to NATO documents.
10. Safe Combinations
- a. The combination of each safe containing classified NATO material will be changed annually, as a minimum, and when any of the following occurs:
    - (1) an individual knowing the combination no longer requires access;
    - (2) the combination has been subject to possible compromise or the security container has been discovered unlocked and unattended.
  - b. Each security container used for storing NATO material classified SECRET and below will have the combination recorded on a Standard Form 700, "Security Container Information." The SF700 form will be delivered to the Department Security Assistant for retention.
11. NATO Classified Access Authorization
- a. Personnel are authorized access to NATO classified material only if:

(1) they possess a final U.S. security clearance of equivalent classification;

(2) they have signed a statement (NATO Classified Access Certificate) assuring their knowledge and understanding of special procedures applicable to NATO classified information and their understanding of the consequences which Sections 793 and 794 of Title 18, U.S. Code provide when classified information passes into unauthorized hands whether by intent or through negligence (see enclosures (1) and (2)). The NATO Classified Access Certificates shall be maintained in an Active NATO Classified Access File until termination of the individual's authorization for access to NATO classified information;

(3) they "need-to-know" the information contained in the NATO classified document.

b. NATO Classified Access Authorization Lists. A current list of all personnel authorized access to NATO classified information shall be maintained up-to-date by each department having possession of NATO classified material. The active file of signed Access Certificates, enclosure (2), will satisfy the requirement for this list.

c. The NATO Classified Access Certificate shall be completed and signed by all personnel authorized access to NATO material.

d. The Certificate of Personnel Security Investigation, Clearance and Access form, OPNAV 5520/20 will also contain NATO security clearance data on each staff member briefed into the NATO Security Program. The active file of signed Access Certificates will satisfy this requirement for student personnel.

12. Termination of Access. Upon detachment or when duties of personnel no longer require access to NATO Classified information, the department concerned will remove the Access Certificate of such personnel from the Active NATO Classified Access File. The attention of all such personnel will again be drawn to their special responsibility for safeguarding of NATO classified information and they shall sign the certification on the bottom of the NATO Classified Access Certificate which shall be filed in the department's Inactive Access File. Inactive Access Files shall be kept for one year.

J. S. ALMON

Distribution:  
Case A

NATO BRIEFING

1. General Security Procedures and Practices. The procedures outlined below, based on NATO security regulations, are for the purpose of briefing all personnel who will have access to COSMIC TOP SECRET, NATO SECRET, NATO CONFIDENTIAL, (including ATOMAL) and NATO RESTRICTED information.

a. Classification of NATO Information. NATO information may be classified COSMIC TOP SECRET, NATO SECRET, NATO CONFIDENTIAL, or NATO RESTRICTED. The definitions of the first three terms are similar to those of U.S. classifications. NATO RESTRICTED is a security classification grading applied by NATO to information and material that requires security protection similar to that required for U.S. CONFIDENTIAL.

b. Types of NATO Classified Information

(1) The United States has numerous types of classified defense information; so does NATO. One is called ATOMAL, a term used to designate "Restricted Data" or "Formerly Restricted Data" provided by the United States and the United Kingdom to other NATO components. A second is NATO non-ATOMAL classified information.

(2) All NATO information that is TOP SECRET, whether ATOMAL or non-ATOMAL, bears the additional designation "COSMIC" or is designated as "COSMIC TOP SECRET ATOMAL" information.

(3) All NATO ATOMAL or non-ATOMAL information that is classified SECRET or lower bears the additional designation "NATO". The word "NATO" is always used together with the SECRET, CONFIDENTIAL, and RESTRICTED classifications, and in the case of SECRET and CONFIDENTIAL classifications with the designation "ATOMAL", if applicable, (that is "NATO SECRET", "NATO SECRET ATOMAL", "NATO CONFIDENTIAL", "NATO CONFIDENTIAL ATOMAL", or "NATO RESTRICTED").

c. Personnel Security Clearance. Personnel who are to have access to COSMIC TOP SECRET, NATO SECRET or NATO CONFIDENTIAL information must first be cleared for access to an equivalent level of U.S. classified information and must have an appropriate completed security investigation. (Interim clearance is not authorized.) Personnel who are to have access to NATO RESTRICTED information must be security cleared at least to the CONFIDENTIAL level and must be made aware of the appropriate NATO security regulations and the consequences of negligence.

Enclosure (1)

d. Access to NATO Classified Information. Access to NATO classified information must be confined to those individuals who need the information in the performance of official duties. No person is entitled solely by virtue of rank or appointment to have access to NATO classified information. In every case the "need to know" must be established and will be determined by the individual having possession or control of the information involved, and not by the prospective recipient.

e. NATO Marking. The word "NATO" is a marking which signifies that the document:

(1) Is the property of NATO and if bearing a security classification may not be passed outside of the NATO organization except by the originator or with his consent.

(2) If bearing a security classification, is subject to the security protection set forth in NATO security regulations and outlined in these procedures.

f. Application of NATO Marking

(1) The marking "NATO" will be applied to all copies of SECRET, CONFIDENTIAL, RESTRICTED, and UNCLASSIFIED documents prepared for circulation only within NATO. Under no circumstances should it be applied to United States documents circulated with United States agencies.

(2) Normally, only the last United States organization having custody of the document is authorized to apply the NATO marking before it is forwarded through approved channels for the interchange of NATO classified information between the United States and NATO agencies.

(3) The security classification, together with the "NATO" marking, should appear at the top and bottom of each page of a document and each page should be numbered. Each document should bear a reference number.

(4) COSMIC TOP SECRET, NATO SECRET and NATO CONFIDENTIAL documents must be typed, translated, and reproduced only by those persons who are security cleared and otherwise authorized to have access to NATO classified information.

g. Security Hazards

(1) All personnel with access to NATO classified information should realize that security may be endangered through indiscreet conversation, and through relationship with the press and other public information media.

(2) An equally serious threat is posed by the activities of a hostile intelligence activity which has been known to utilize the social contacts between NATO personnel and nationals of Communist countries. All personnel must immediately report to the appropriate security agency any contacts with nationals of Communist countries outside the scope of their regular duties; and report any approach or maneuver which appears to be motivated by hostile intelligence.

h. Breaches of Security

(1) NATO classified information may be compromised as a result of carelessness, negligence, or indiscretion, and by the action of hostile intelligence or subversive organizations.

(2) The dangers of indiscreet conversation cannot be overemphasized. It is very important that any breach of security which may come to an individual's attention is at once reported to the appropriate security authority of the organization in which he is employed. Similarly, the security authority should be notified immediately whenever a document is believed lost, missing, or compromised; or when compromise is suspected.

(3) It is expected that disciplinary action will be taken against any individual who is responsible for unauthorized disclosure or other compromise of NATO classified information.

2. Excerpt From Espionage Act  
(Title 18, United States Code)

Section 793. Gathering, transmitting, or losing defense information.

(a) Whoever, for the purpose of obtaining information respecting the national defense with intent or reason to believe that the information is to be used to the injury of the United States, or to the advantage of any foreign nation, goes upon, enters, flies over, or otherwise obtains information concerning any vessel, aircraft, work of defense, navy yard, naval station, submarine base, fueling station, fort, battery torpedo station, dockyard, canal, railroad, arsenal, camp, factory, mine, telegraph, telephone, wireless, or signal, station, building, office, research laboratory or station or other place connected with the national defense owned or constructed, or in progress of construction by the United States or under the control of the United States, or of any of its offices, departments, or agencies, or within the exclusive jurisdiction of the United States, or any place in which any vessel, aircraft, arms munitions, or other materials or instruments for the use in time

of war are being made prepared, repaired, stored, or are the subject of research or development, under any contract or agreement with the United States, or any department or agency thereof, or with any person on behalf of the United States, or otherwise on behalf of the United States, or any prohibited place so designated by the President by proclamation in time of war or in case of national emergency in which anything for the use of the Army, Navy, or Air Force is being prepared or constructed or stored, information as to which prohibited place the President has determined would be prejudicial to the national defense; or

(b) Whoever, for the purpose aforesaid, and with like intent or reason to believe, copies, takes, makes, or obtains, or attempts to copy, take, make, or obtain, any sketch, photograph, photographic negative, blueprint, plan, map, model, instrument, appliances, document, writing, or note of anything connected with the national defense; or

(c) Whoever, for the purpose aforesaid, receives or obtains or agrees or attempts to receive or obtain from any person, or from any source whatever, any document, writing, code book, signal book, sketch, photograph, photographic negative, blueprint, plan, map, model, instrument, appliance, or note, or anything connected with the national defense, knowing or having reason to believe, at the time he receives or obtains, or agrees or attempts to receive or obtain it, that it has been or will be obtained, taken, made, or disposed of by any person contrary to the provisions of this chapter; or

(d) Whoever, lawfully having possession of, access to, control over, or being entrusted with any document, writing, code book, signal book, sketch, photograph, photographic negative, blueprint, plan, map, model, instrument, appliance, or note relating to the national defense, or information relating to the national defense which information the possessor has reason to believe could be used to the injury of the United States or to the advantage of any foreign nation, willfully communicates, delivers, transmits, or causes to be communicated, delivered, or transmitted or attempts to communicate, deliver, transmit or cause to be communicated, delivered or transmitted the same to any person not entitled to receive it, or willfully retains the same and fails to deliver it on demand to the officer or employee of the United States entitled to receive it; or

(e) Whoever, having unauthorized possession of, access to, or control over any document, writing, code book, signal book, sketch, photograph, photographic negative, blueprint, plan, map, model, instrument, appliance, or note relating to the national defense, or information relating to the national defense

which information the possessor has reason to believe could be used to the injury of the United States or to the advantage of any foreign nation, willfully communicates, delivers, transmits or causes to be communicated, delivered, or transmitted, or attempts to communicate, deliver, transmit or cause to be communicated, delivered, or transmitted the same to any person not entitled to receive it, or willfully retains the same and fails to deliver it to the officer or employee of the United States entitled to receive it; or

(f) Whoever, being entrusted with or having lawful possession or control of any document, writing, code book, signal book, sketch, photograph, photographic negative, blueprint, plan, map, model, instrument, appliance, note or information relating to the national defense, (1) through gross negligence permits the same to be removed from its proper place of custody or delivered to anyone in violation of his trust, or to be lost, stolen, abstracted, or destroyed, or (2) having knowledge that the same has been illegally removed from its proper place of custody or delivered to anyone in violation of his trust, or lost, or stolen, abstracted, or destroyed, and fails to make prompt report of such loss, theft, abstraction or destruction to his superior officer--

Shall be fined not more than \$10,000 or imprisoned not more than ten years, or both.

(g) If two or more persons conspire to violate any of the foregoing provisions of this section, and one or more of such persons do any act to effect the object of the conspiracy, each of the parties to such conspiracy shall be subject to the punishment provided for the offense which is the object of such conspiracy.

Section 794. Gathering or delivering defense information to aid foreign governments.

(a) Whoever, with intent or reason to believe that it is to be used to the injury of the United States or to the advantage of a foreign nation, communicates, delivers, or transmits, or attempts to communicate, deliver, or transmit, to any foreign government, or to any faction or party or military or naval force within a foreign country, whether recognized by the United States, or to any representative, officer, agent, employee, subject, or citizen thereof, either directly or indirectly, any document, writing, code book, signal book, sketch, photograph, photographic negative, blueprint, plant, map, model, note, instrument, appliance, or information relating to the national defense, shall be punished by death or by imprisonment for any term of years or for life.

(b) Whoever, in time of war, with intent that the same shall be communicated to the enemy, collects, records, publishes, or communicates, or attempts to elicit any information with respect to the movement, numbers, description, condition, or disposition of any of the Armed Forces, ships, aircraft, or war materials of the United States, or with respect to the plans or conduct, or supposed plans or conduct of any naval or military operation, or with respect to any works or measures undertaken for or connected with, or intended for the fortification or defense of any place, or any other information relating to the public defense, which might be useful to the enemy, shall be punished by death or by imprisonment for any term of years or for life.

(c) If two or more persons conspire to violate this section, and one or more of such persons do any act to effect the object of the conspiracy, each of the parties to such conspiracy shall be subject to the punishment provided for the offense which is the object of such conspiracy.

NATO CLASSIFIED MATERIAL ACCESS CERTIFICATE

NAME (First, Last, Initial)

RANK/RATE

SSN

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I certify that I have read and fully understand NAVSUBSCOLINST 5510.9 for handling the material indicated above and am aware of my responsibility for safeguarding such information, and that I am liable for prosecution if either by intent or negligence I allow it to pass into unauthorized hands.

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Signature

Date

DISPOSITION UPON EXECUTION OF THIS CERTIFICATION:

File in Department Active Access File

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Pursuant to the obligation which I incurred at the time of having authorized access to information indicated above, I reaffirm that I will not hereafter divulge or discuss such information I have acquired, unless properly required to do so by competent authority in the performance of duty.

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Signature

Date

DISPOSITION UPON EXECUTION OF THIS CERTIFICATION:

File in Department Inactive Access File

NAVSUBSCOLINST 5510.9 CH-1  
01E  
11 Mar 93

NAVSUBSCOL INSTRUCTION 5510.9 CH-1

Subj: SECURITY PROCEDURES GOVERNING THE PROTECTION AND HANDLING  
OF NATO CLASSIFIED INFORMATION AND MATERIAL

1. Purpose. To transmit Change 1 to the basic instruction.
2. Action. Make the following pen and ink corrections.
  - a. Change reference (a) to NAVSUBSCOLINST 5510.3E
  - b. Change the last sentence of para 10.b. to read "The SF700 form will be delivered to the Department Security Assistant for retention."
  - c. On page 1 of the basic instruction, annotate "CH-1 entered on (DATE) by (INITIALS)" in the upper right hand corner.

J. S. ALMON

Distribution:  
Case A

NAVSUBSCOLINST 5510.9 CH-2  
01E  
30 Sep 96

NAVSUBSCOL INSTRUCTION 5510.9 CHANGE TRANSMITTAL TWO

Subj: SECURITY PROCEDURES GOVERNING THE PROTECTION AND HANDLING  
OF NATO CLASSIFIED INFORMATION AND MATERIAL

1. Purpose. To promulgate Change Two to the basic instruction.
2. Action. Make the following pen and ink changes.
  - a. Change reference (a) to NAVSUBSCOLINST 5510.3F.
  - b. Annotate the first page in the upper right hand corner with CH-2 entered (date) by (initials).

JOHN C. BRANDES

Distribution:  
Case A

NAVSUBSCOLINST 5510.9 CH-3  
01E  
13 Jan 00

NAVSUBSCOL INSTRUCTION 5510.9 CHANGE TRANSMITTAL THREE

Subj: SECURITY PROCEDURES GOVERNING THE PROTECTION AND HANDLING  
OF NATO CLASSIFIED INFORMATION AND MATERIAL

1. Purpose. To promulgate Change 3 to the basic instruction.
2. Action. Make the following pen and ink changes:
  - a. On cover page, change reference (b) to "NAVSUBSCOLINST 5530.2D".
  - b. Paragraph 4.a., last sentence, change "(b)" to "(a)".
  - c. Paragraph 4.b., last sentence, change "(b)" to "(a)".
  - d. Paragraph 6, last sentence, change "(a)" to "(b)".
  - e. Annotate cover page, upper right hand corner of basic instruction with "CH-2 entered (date) by (initials)".

C. D. AKERLEY