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21 March 1960

APPENDIX BANNEXURE B2SECURITY PRINCIPLES GOVERNING THE CONDUCT
OF COMINT OPERATIONS IN EXPOSED AREASINTRODUCTION

1. It is recognized that effective interception of foreign communications and effective support of field commanders may require the establishment of COMINT activities in locations which may suddenly fall under hostile control with consequent loss of COMINT personnel and/or associated classified materials. It is agreed that, in addition to the pertinent, general provisions of Appendix B, the specific provisions which follow shall govern the conduct of COMINT activities in such locations.

DEFINITIONS

2. Exposed areas as defined in paragraph 15, Appendix B comprise the Sino-Soviet Bloc, other countries under bloc domination, areas beyond defense lines expected to be tenable, and areas wherein the local political or military situation is such as to pose a distinct threat to the security of COMINT operations conducted therein. The degree of risk is dependent upon the capability of support and security forces to protect the COMINT unit through sufficient delaying action to allow time for the destruction of classified material and prompt evacuation of COMINT personnel. The following situations may exist in exposed areas:

a. Risky situations, i.e., those in which it is considered possible that timely and complete evacuation of COMINT personnel and removal or effective destruction of classified material will be accomplished before a unit can be overrun.

b. Dangerous situations, i.e., those in which it is unlikely that timely and complete evacuation of COMINT personnel and removal or

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effective destruction of classified material will be accomplished before a unit can be overrun.

3. Hazardous activities as defined in paragraph 14, Appendix B include:

- a. Duties behind enemy lines, or in-shore operations off an enemy or unfriendly country.
- b. Flights over enemy or unfriendly territory unless on recognized corridor routes.
- c. Raids, minor formation attacks, underwater demolition operations, and service with a unit or formation forward of Division HQ.
- d. Duty in or visits to unfriendly countries and also other areas where from time to time local conditions are considered to involve an unacceptable risk.
- e. Transit through the Soviet Zone of Germany unless in authorized military or diplomatic transport on regular routes.

4. For the purposes of paragraph 3, unfriendly countries are understood to be the Sino-Soviet Bloc and other countries where similar risks to U. S. or U. K. nationals are likely. Lists of the latter countries will be exchanged between USIB and LSIB.

SAFEGUARDS FOR ASSIGNMENT OF PERSONNEL TO HAZARDOUS ACTIVITIES

5. As an aid to controlling assignment of personnel to hazardous activities, persons who are or have been indoctrinated will be divided into three groups:

- a. Group U - (Unrestricted)

Individuals who are producers of Category I COMINT and have no knowledge of other Categories, or persons who, although indoctrinated for other Categories of COMINT, have so little access that they do not possess knowledge of current value, and are not subject to restrictions against hazardous activities.

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Individuals who have knowledge of current value about Categories II or III COMINT or their subcategories, who shall not be assigned to hazardous activities for a minimum period of one year following debriefing.

c. Group P - (Permanent Restriction)

Individuals with precise knowledge of COMINT processing techniques, competence or potential regarding the more sensitive Category III COMINT who shall not be assigned to hazardous activities at any time.

6. Exceptions to the above safeguards may be authorized by senior officers and officials at a level prescribed by USIB or LSIB. In considering such exceptions the protection offered by diplomatic status should not automatically be considered sufficient, but should be assessed in the light of the particular circumstances involved. In the case of Allied Commands to which UKUSA COMINT is provided through an SSO or GCU, the senior COMINT indoctrinated U. S. and U. K. officers shall be authorized to make such exceptions.

EVALUATION OF SITUATIONS IN EXPOSED AREAS

7. The decision whether a given situation is risky or dangerous shall be made by USIB or LSIB or by such other authorities as are responsible for the security of the COMINT activities concerned, and shall be made in the light of the political, military, and other factors affecting the safety of the COMINT personnel and materials involved.

FACTORS AFFECTING DECISIONS TO CONDUCT COMINT OPERATIONS IN EXPOSED AREAS

8. COMINT operations shall be conducted in exposed areas only after due consideration of the COMINT losses which may result if the area concerned is suddenly attacked, and of the probable effect of such losses upon the conduct of COMINT activities elsewhere.

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~~TOP SECRET DAUNT~~~~TOP SECRET DAUNT~~SAFEGUARDS FOR RISKY SITUATIONS

9. In the case of COMINT activities established in risky situations, the following safeguards shall be applied save as exceptions thereto are authorized by senior officers and officials at a level established by USIB or LSIB:

a. Only intercept, analytic and reporting tasks which cannot be performed satisfactorily in safe or protected situations shall be assigned.

b. No Category III COMINT or related documents and technical material shall be held except those essential to the assigned task and of current application thereto, and the latter shall be maintained in such condition as to insure immediate destruction, if necessary, upon sudden threat of seizure.

c. No person in Group P, as defined in paragraph 5c above, shall be assigned, unless required by technical considerations.

d. Sufficient means of destruction shall be provided in order that complete destruction of classified COMINT materials may be carried out in the shortest time possible by the minimum number of personnel.

e. Appropriate steps shall be taken to insure that adequate arrangements are made for safe evacuation of all personnel whose loss would be damaging and that the unit in question is kept informed of evacuation plans on a current basis.

SAFEGUARDS FOR DANGEROUS SITUATIONS

10. In the case of COMINT units established in dangerous situations the following safeguards shall be applied save as exceptions thereto are authorized by senior officers and officials of a level established by USIB or LSIB:

a. Only unique intercept tasks which cannot be accomplished elsewhere shall be assigned, and only such analysis as is locally required to support these tasks and permit essential technical reporting shall be performed.

b. Only COMINT documents or technical aids essential and of current application to these tasks shall be held.

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c. No Category III COMINT or related documents and technical material shall be held.

d. Personnel technically informed in COMINT of a higher level or broader scope than is required for the limited mission of the unit should not be assigned if avoidable.

e. No person in Group M as defined in sub-paragraph 5b above shall be assigned unless his presence is vital for the effective functioning of the unit.

f. No person in Group P as defined in sub-paragraph 5c above shall be assigned in any circumstances.

g. Sufficient means of destruction shall be provided in order that maximum destruction of classified COMINT material may be carried on in the shortest time possible by the minimum number of personnel.

h. Appropriate steps shall be taken to insure that the unit in question is kept informed of evacuation plans on a current basis.

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