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29 June 1953


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Subject: COMINT Clearance Standards and Procedures.

References: (a) USCIB 13/333 dated 15 May 1953.
(b) USCIB Directive Number 5.

1. As an initial step in solution of the problem set forth in reference (a), the enclosure is forwarded for consideration at the next regular meeting of USCIBEC.

2. It is felt that additional revisions of reference (b) in the light of categories provided in the new Appendix B to the BRUSA Agreement, when approved, will be desirable. This will be a time consuming process. Therefore, it is recommended that we get on with the enclosure as quickly as possible in order to bring the procedures and practices now in use with regard to clearance for COMINT under better control.



RUFUS L. TAYLOR
Captain, U. S. Navy
Executive Secretary, USCIB

Enclosure
Draft Revision of
USCIB Directive No. 5.

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~~SECRET~~~~SECURITY INFORMATION~~~~SECRET~~~~SECURITY INFORMATION~~PROPOSED UNITED STATES COMMUNICATIONS INTELLIGENCE BOARDDIRECTIVE NO. 5USCIB STANDARDS AND PROCEDUREFOR CLEARANCE OF PERSONNEL FOR COMINT

1. The elements of the procedure for clearing a person for COMINT are, consecutively:
 - (a) Determination of the "need to know".
 - (b) Investigation, and evaluation in terms of USCIB clearance standards.
 - (c) Approval for indoctrination.
 - (d) Indoctrination (and "debriefing").
2. DETERMINATION OF THE "NEED TO KNOW".
 - (a) The "need to know" exists only where COMINT is essential to a person for the performance of his official duties. The number of persons cleared for COMINT will be held to an absolute minimum.
 - (b) ~~The responsibility for determining the "need to know" of persons within a USCIB member organization rests with that organization. The responsibility for determining the "need to know" of other personnel of the Department of Defense rests with the Secretary of Defense. The responsibility for determining the "need to know" of civilians under contract and employees and representatives of commercial firms and civilian research institutions which are to engage in research, or the design, development, or manufacture of equipment, pertinent to COMINT production rests with the USCIB member organization directing the project, which shall act in full coordination with any other member organizations concerned with~~

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~~the project. The "need to know" of all other persons will be determined by USCIB.~~

- (b) The responsibility for determining the "need to know" of persons in the performance of duties under the direct cognizance and supervision of a USCIB member department or agency rests with the USCIB member department or agency concerned.
- (c) The responsibility for determining the "need to know" of civilians under contract and employees and representatives of commercial firms and civilian research institutions which are to engage in research, or the design, development, or manufacture of equipment, pertinent to COMINT production rests with the USCIB member department or agency directing the project, which shall act in full coordination with any other member departments or agencies concerned with the project.
- (d) The responsibility for determining the "need to know" of persons in the performance of duties under the exclusive cognizance of the Department of Defense rests with the Secretary of Defense.
- (e) The "need to know" of all other individuals will be determined by USCIB.
- (f) The "need to know" of boards, committees, councils and other activities of inter-departmental or inter-agency nature under the exclusive cognizance of the Department of Defense will be determined by the Secretary of Defense.
- (g) The "need to know" of inter-departmental or inter-agency boards, committees, councils and other activities of the government not under the exclusive cognizance of the Department of Defense or other member department or agencies of USCIB will be determined by USCIB.

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(h) No person will be deemed to have a "need to know" solely by virtue of performance of duties on an inter-departmental or inter-agency board, committee, council, or other activity unless such board, committee, council or other activity shall have been determined to have a "need to know" as a whole by competent authority as set forth herein.

3. USCIB INVESTIGATION AND CLEARANCE STANDARDS.

(a) USCIB standards for clearance of a person for COMINT are as follows:

(1) The person shall be of excellent character and discretion, and of unquestioned loyalty to the United States. There shall be no exception to this requirement.

(NOTE: On 15 September 1950, by USCIB decision, the provisions of this subparagraph were relaxed to grant a waiver in the case of Nationals of countries providing Armed Forces in Korea in support of the United Nations in order that they might be used solely as translators of intercepted North Korean plain text traffic. (Refer to USCIB: 4/38))

(NOTE: On 13 July 1951, by USCIB decision, the provisions of this subparagraph were further relaxed to permit the use of certain Japanese Nationals for the same purpose and under the same conditions as the citizens of Nationalist China and the Republic of Korea, provided for by USCIB decision of 22 June 1951.)

(2) The person should be a native-born U.S. citizen. The members of his immediate family should be U.S. citizens.

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- (3) No member of the person's immediate family and no person to whom he may reasonably be supposed to be bound by ties of affection, kinship, or obligation should be of dubious loyalty to the United States.
 - (4) No member of the person's immediate family and no person to whom he may reasonably be supposed to be bound by ties of affection, kinship, or obligation should be a resident of a foreign country having basic or critical national interests opposed to those of the U.S.
 - (5) Exceptions to any of the foregoing requirements except the first may be made only in case of compelling need after every reasonable assurance has been obtained that, in the circumstances, the security risk involved is negligible.
- (b) To permit evaluation on the basis of the foregoing requirements, each person to be cleared for COMINT shall, prior to clearance, be required to furnish, under oath, a Personal History Statement (containing information essentially similar to that called for in the sample form attached hereto as Annex 1) and shall be subjected to a thorough investigation which shall include the following:
- (1) Check of the date and place of birth of the individual.
 - (2) Check of the national files of the FBI and of such other investigative agencies as may be pertinent to the investigation.
 - (3) Local agency checks in areas where the individual has resided to consist as a minimum in every case of a check

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of the files of the appropriate field office of the Federal Bureau of Investigation, local police, local credit agencies (in the case of individuals over twenty-two years of age), the headquarters of the appropriate major subordinate command of the Department of Defense (if necessary), and such other agencies as may be pertinent.

- (4) Check of records of the person's military service, if any.
 - (5) Verification of entries concerning education and affiliations in the Personal History Statement.
 - (6) Interviews with at least three character references, and at least mail checks with all employers listed in the Personal History Statement.
 - (7) Interviews with at least three additional character references found through the preceding steps in the investigation.
- (c) Officers of the Department of Defense and of the Foreign Service of the United States with more than 10 years' continuous active commissioned service need not be subjected to the complete formal investigation as outlined above in paragraph 3(b). Before the indoctrination of such an officer, however, all pertinent records readily available in the Washington area will be scrutinized with a view to determining whether any questionable traits have been noted during his entire period of commissioned service.

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(d) In each case the responsibility for initiating and conducting the required investigation and for making the evaluation based on the foregoing standards for clearance rests with the authority which has determined the "need to know". However, where the Secretary of Defense or USCIB has determined the "need to know", this responsibility will be delegated by the Secretary of Defense, ~~or by USCIB in the specific instance~~ to a member ~~organization~~ department or agency under his cognizance, or by USCIB to an appropriate member department or agency, in each specific instance.

(e) In emergency, or when there is other compelling need to clear a person for COMINT prior to completion of the full prescribed investigation, and the responsible authority has determined upon such advance clearance (paragraph 4(c), hereinafter), such investigative checks as are immediately possible shall be made at once, and the full investigation and final evaluation shall be completed at the earliest practicable moment.

4. APPROVAL FOR INDOCTRINATION.

(a) The responsibility for approving the indoctrination of a person for COMINT rests with the authority which has determined his "need to know". Where determination of the "need to know" has involved coordination with other departments, similar coordination shall precede the decision to approve indoctrination.

(b) In a case where the responsibility for approving indoctrination rests with the Secretary of Defense or with USCIB, the

organization which has been charged with making the required investigation and evaluation (paragraph 3(d), above) shall furnish to the approving authority the following:

- (1) A certification that the person under consideration meets all USCIB clearance standards (or a statement to the contrary, with particulars).
- (2) A statement of all derogatory and questionable information obtained through the investigation (or a statement that no such information has been found).
- (3) Any other reports of the investigation and documents pertinent thereto which the Secretary of Defense or USCIB may require in the specific instance.

~~Where the Secretary of Defense is the approving authority, he will inform USCIB of his decision in each case.~~

- (c) In emergency, or when there is other compelling need, in the national interest, to indoctrinate a person for COMINT prior to completion of the full prescribed investigation, the authority which has determined the "need to know" may approve such prior indoctrination.

5. INDOCTRINATION AND DEBRIEFING.

- (a) INDOCTRINATION. Each person who is to be cleared for COMINT shall be thoroughly and carefully instructed in the doctrine and principles of COMINT protection, and in the regulations which govern the dissemination and safeguarding of COMINT, and shall be required to subscribe to an oath of secrecy. The oath to be administered upon the indoctrination of a person to receive COMINT final products shall be essentially similar to that of the ~~sample form~~ attached as Annex 2.

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- (b) "DEBRIEFING". When a person's "need to know" has ceased to exist he shall be debarred from further knowledge and required to subscribe to a final oath of secrecy. The oath to be administered upon the "debriefing" of a former recipient of COMINT final products shall be essentially similar to that of the sample form attached as Annex 3.
- (c) The responsibility for indoctrinating and "debriefing" a person and for administering the oaths of secrecy rests with the authority which has determined his "need to know". Where the Secretary of Defense or USCIB has determined the "need to know", this responsibility may be delegated by the Secretary of Defense ~~or by USCIB in the specific instance to a member organization~~ to a member department or agency under his cognizance or by USCIB to an appropriate member department or agency in each specific instance.
- (d) Each USCIB member organization shall maintain current records of personnel indoctrinated by it for COMINT, pursuant to its own determination of "need to know", and shall keep USCIB informed of the total numbers of such personnel. The USCIB Secretariat will maintain a similar list of persons cleared for COMINT pursuant to determination of the "need to know" ~~by the Secretary of Defense or~~ by USCIB.

6. APPLICABILITY OF THESE STANDARDS AND PROCEDURES TO PERSONNEL OF THE COMINT OPERATING AGENCIES AND OTHER PERSONS ASSOCIATED WITH THESE AGENCIES IN THE TECHNICAL PHASES OF COMINT PRODUCTION AND RESEARCH.

Subject to such additional standards and procedures, not in conflict with the above, as may be prescribed by the Director, National

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Security Agency, the standards and procedure herein prescribed apply fully to the personnel of the COMINT operating agencies and other persons associated with these agencies in the technical phases of COMINT production and research except as follows:

- (a) The existence of the "need to know" of persons in these categories is inherent in the circumstances of their employment or intended employment. However, each person in these categories will have access to only such information as he needs for the proper performance of his specific duties. Persons in these categories may be cleared for COMINT in numbers amply adequate for the needs of the operating agencies, but only the absolute minimum number should have access to the final COMINT products of the operations of those agencies.
- (b) It is undesirable that all persons of these categories be investigated and evaluated according to the standards of paragraph 3. However, such of these as need not and positively will not have knowledge of or access to operations (or pertinent information) beyond the stages of raw-traffic intercept, collection, transmission, and preparation; D/F bearing measurement, plotting and utilization; emission identification; the design, development, and production of intercept, D/F, and emission identification equipment; and the more elementary phases of traffic analysis may be investigated and evaluated according to lower standards at the discretion of the member organizations concerned.

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(c) The secrecy oaths for COMINT recipients (exemplified in Annexes 2 and 3) need not be used for personnel in these categories where they are inappropriate. Instead, the forms for their oaths of secrecy shall be as prescribed by the COMINT operating agencies and as appropriate to the duties which they are to perform.

7. CONTINUING INVESTIGATIVE CHECKS AND SECURITY SURVEILLANCE.

Persons cleared for COMINT and retaining that status permanently or over a long period of time shall be subjected to such continuing investigative checks and security surveillance as are within the capacities of the investigative services of the U.S.

8. PROVISION OF COMINT TO INDOCTRINATED PERSONS.

(a) In providing communications intelligence to persons and activities whose "need to know" has been determined by the Secretary of Defense, the SECDEF will designate a member department or agency under his cognizance to provide security supervision of the activity or person being served with COMINT. The member department or agency so designated will inform the Executive Secretary, USCIB, in writing of its responsibilities in the premises and furnish at the same time a written description of the rules and regulations under which such service is being performed.

(b) In providing communications intelligence to persons or activities whose "need to know" has been determined by USCIB, the member department or agency providing such service will notify the Executive Secretary, USCIB, in writing of its responsibilities in the premises and furnish at the same time a written

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description of the rules and regulations under which such service is being performed.

- (c) Member departments and agencies of USCIB which handle and disseminate COMINT will maintain a written set of rules and regulations for the handling and dissemination thereof, in accordance with the policies of USCIB. Each member department and agency will place on file with the Executive Secretary, USCIB, an up to date copy of such rules and regulations, together with such changes as may be made thereto from time to time.

9. ADDITIONAL PROVISIONS GOVERNING INDOCTRINATION AND DEBRIEFING.

In order to assist in administrative control of duty assignments and travel in foreign areas where recipients of COMINT may be subjected to interrogation by hostile elements, the following procedures will be observed:

- (a) Any person who is a member of the organization of one member department or agency and is supplied to another member department or agency will be indoctrinated and debriefed by the supplying activity, if his duties will require knowledge of COMINT. The receiving activity may take such additional action in indoctrination and prior debriefing as it may deem necessary.
- (b) The names of all civilian personnel debriefed for any reason and the names of military personnel debriefed by reason of separation from active service will be furnished by the debriefing activity to the Executive Secretary, USCIB. The Executive Secretary will

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compile monthly a list of such names and furnish same to the Special Projects Staff (SPS) of the Department of State. SPS, State will make suitable arrangements within the Department of State to have SPS notified of the names of any individuals on the above mentioned list who may apply for a passport. SPS will then notify the Executive Secretary, USCIB, in the premises. The Executive Secretary will then consult the member whose activity conducted the debriefing and advise SPS, State of any travel restrictions desired. SPS will, accordingly, make suitable arrangements within the Department of State for appropriate travel restrictions to be included in the passport.

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