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~~(C//REL)~~ PROCEDURAL GUIDELINES FOR  
SIGINT PRODUCTION ON  
U.S. [REDACTED] FIELD EXERCISES

(U) Purpose  
(Heading 5,  
Block Label)

~~(S//REL)~~ These guidelines apply to collection and dissemination of SIGINT  
on the activity of [REDACTED]

The purpose is to enable elements of the SIGINT production chain to:

- Understand the distinctive set of responsibilities for these events,
- Execute preparatory procedures in the right timeframe,
- Ensure compliance with law and policy,
- Optimize reporting,
- Disseminate product appropriately, and
- [REDACTED]

(b) (1)  
(b) (3)-P.L. 86-36  
(b) (3)-18 USC 798  
(b) (3)-50 USC 3024 (i)

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Approved for Release by NSA on 09-19-2014, FOIA Case # 70809 (Litigation)

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**(U) Scope**

These guidelines pull together pertinent provisions from several separate U.S. SIGINT Directives (USSIDs), policies, and directives, and define procedural steps for their practical application in a timely fashion.

~~(U//FOUO)~~ **Cautionary Note:** These guidelines pertain to actual SIGINT production responding to real Information Needs (INs) in the National SIGINT Requirements Process (NSRP). These guidelines do not pertain to "Exercise SIGINT" which is simulated, serves the artificial exercise scenario, and has no validity as intelligence (see USSIDs SP0018, ANNEX C, and CR1221).

//s//

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**(U) BACKGROUND**

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1. ~~(S//SI//REL)~~ U.S. [redacted] exercises provide windows of opportunity for unique SIGINT production. Exercise related communications [redacted]

(b) (1)  
 (b) (3) - P.L. 86-36  
 (b) (3) - 18 USC 798  
 (b) (3) - 50 USC 3024 (i)

[redacted]

2. ~~(S//SI//REL)~~ [redacted]

[redacted]

**(U) POLICY**

**(U) Policy Summary**

3. (U//FOUO) This policy is intended to facilitate early anticipation and enable informed execution of each special preparatory step for SIGINT collection for this type of exercise scenario. This guidance is intended for any U.S. SIGINT System (USSS) element involved -- including Cryptologic representatives at U.S. Combatant Commands (COCOMs), Second Party liaison offices, and Target Offices of Primary Interest (TOPIs) -- to enable them to work in time and in concert to navigate procedural requirements.

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**(U) Policy  
Guidance and  
Procedures**

4. (U) The following sections of relevant policy provide the primary guidance and procedures that apply for conditions covered under this guidance.

- (U) USSID SP0018, Annex H, specifies approval channels for consensual collection and dissemination of SIGINT on U.S. persons and provides "Consent Agreement" forms for SIGINT coverage that include specifications on dissemination of derived reporting.
- (U//~~FOUO~~) Both USSID SP0018, Section 7, and USSID CR1400, Section 3, address dissemination of the identities of U.S. persons.
- ~~(C//SI//REL)~~ [Redacted]

(B) (1)  
 (b) (3) - P.L. 86-36  
 (b) (3) - 18 USC 798  
 (b) (3) - 50 USC 3024 (1)

- (U//~~FOUO~~) The Oversight and Compliance Manual "U.S. Identities in SIGINT (U)" provides additional guidance on dissemination of the identities of U.S. and Second Party persons in SIGINT.

**(U) PROCEDURES**

**(U) Procedures**

5. (U//~~FOUO~~) This section lays out procedural steps to accomplish USSID or policy requisites for collection and dissemination on a U.S. [Redacted] P.L. 86-36 field exercise of interest, namely:

- documented customer requirements/needs,
- special authorizations for collection,
- reporting on U.S. persons [Redacted] and
- dissemination constraints.

**(U)  
Information  
Needs (IN)**

6. (U//~~FOUO~~) Ensuring a basis of Information Need(s): The unique intelligence gathering opportunity of a U.S. [Redacted] exercise is only SIGINT exploitable if there is an applicable IN(s) in the NSRP. Cryptologic Services Groups (CSGs) are positioned to both understand the particular exercise-related intelligence requirements of their

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customers and to help customers articulate any new requirements in the NSRP as INs. Follow the steps below to submit a Limited Focus IN to cover the specific exercise. Be sure to take note of the timeline applicable.

- (U//~~FOUO~~) As soon as the dates are established for the exercise, the customer, assisted by the appropriate CSG should begin drafting a Limited Focus IN. The Limited Focus IN is meant to cover specific events and issues. Obtaining SIGINT on [ ] exercises may require development/relocation of collection assets, establishment/improvement of dataflow and processing, and/or manpower adjustments. It may not be possible to address INs submitted close to the exercise start date.
- (U//~~FOUO~~) Research within NSRP the existing INs which already address the area/entities of concern for the specified exercise. If assistance is required on how to create queries in NSRP, email [DLnsrpteam@nsa.ic.gov](mailto:DLnsrpteam@nsa.ic.gov). Reference related IN number(s) in the new Limited Focus IN.
- (U//~~FOUO~~) The customer must pay attention to the SIGINT priority assigned per their National Intelligence Priorities Framework table choices. If the SIGINT priority is low and the customer cannot justify an upward change of priority, the SIGINT system may not have the resources to support the exercise. It is the customer's responsibility to seek a higher priority.
- (U//~~FOUO~~) The customer then submits the IN for validation. Customers should plan that the validation process will typically require at least 3 weeks before the IN is levied upon NSA. (Note: INs can be submitted months before the scheduled event).
- (U//~~FOUO~~) The customer should request a Level of Effort (LOE) statement with a suspense date that is no sooner than 14 days from the date of Final National Validation for the IN. The LOE is intended to shape customer expectations and serve as a jumping-off point for further discussion.
- (U//~~FOUO~~) As the actual dates of the exercise approach or changes to the customer need are recognized, a new version of the IN should be immediately created and submitted to reflect these changes and give the SIGINT system the greatest opportunity to adjust to meet the revised need.

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(U) Collection

7. (U//~~FOUO~~) Collection - Step A. U.S. Consent Forms: The TOPI is~~SECRET//COMINT//REL TO USA, FVEY~~

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responsible for determining whether it may be necessary to collect U.S. communications to get adequate SIGINT on the applicable INs during the [redacted] exercise of interest. Follow the steps below for consent forms to collect and disseminate on U.S. persons' communications during the exercise. Again, for successful planning, be sure to take note of the time required for each step.

8. (U//~~FOUO~~) Individuals giving consent to NSA to collect and disseminate foreign communications about their activities must submit a signed consent form (see USSID SP0018, ANNEX H). A justification, drafted by either the individual giving consent or the person requesting consensual collection of a U.S. person, must accompany the signed consent form and should address the following:

(b) (3) - P.L. 86-36

- identity of and sufficient information about the person(s) giving consent,
- mission-related purpose of the request,
- location of activity in which person(s) giving consent will be involved,
- time period for consensual collection,
- TOPI providing SIGINT support for the activity, and
- Organizations, agencies, individuals authorized to receive SIGINT reports related to consensual collection.

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9. (U//~~FOUO~~) The signed consent form and the justification must be submitted via secure email to DL CONSENSUAL or secure fax [redacted] [redacted] SV drafts the documentation for coordination and approval. The process typically requires 30 days to complete. D/DIR is the final approval authority for consensual collection.

10. (C//REL) [redacted]

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11. (C//SI//REL) [redacted]

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[Redacted]

12. ~~(C//SI//REL)~~

[Redacted]

[Redacted]

(b) (1)  
(b) (3) - P.L. 86-36  
(b) (3) - 18 USC 798  
(b) (3) - 50 USC 3024(i)

13. ~~(C//REL)~~

[Redacted]

[Redacted]

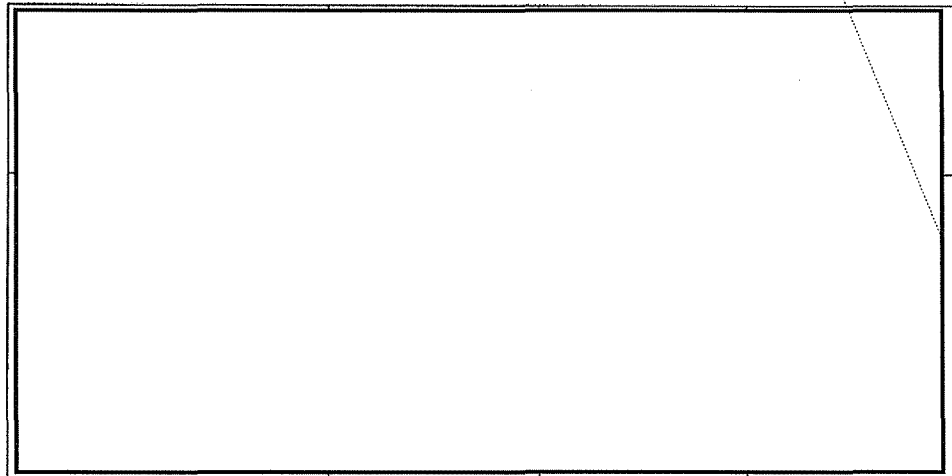
~~(C//REL)~~

REQUEST PROCEDURES AND SCHEDULE FOR COLLECTION			
Action	60 days prior	30 days prior	At least 14 days prior
For collection on U.S. participants: TOPI submits email of signed consent forms and justifications to DL CONSENSUAL (Oversight and Compliance)		X	

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~~(C//REL)~~

**(U) Analysis and Reporting**

14. (U//~~FOUO~~) Analysis and Reporting: SIGINT policy on handling U.S. identities in SIGINT reporting can be found in:

- USSID SP0018, particularly sections 4 through 7;
- USSID CR1400, section 3 (which also addresses handling of Second Party identities); and
- "U.S. Identities in SIGINT" manual.

15. The Information Sharing Services organization provides a collection of useful reference information on this topic in "The USSID SP0018 Corner" which includes guidance on Second Party identities. These resources are applied and reinforced by knowledgeable SIGINT reporters in many entities across the SIGINT enterprise who, in their daily tasks, observe protective processes and procedures for references to U.S. persons in SIGINT report preparation. For issues in reporting on U.S.  exercises, the first approach for resolution lies in direct utilization of these documentary and collegial resources.

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(U)  
Dissemination

16. (U//~~FOUO~~) Dissemination: Consent forms for collection of U.S. persons' communications also include space for consent for dissemination to specifically listed entities. While there may be only one external customer responsible for requesting the special SIGINT effort on a U.S. [ ] exercise, SIGINT reporting policy does not permit limiting product dissemination to only one recipient. Once the consent form has been properly filled out, and a request for guidance has been submitted, Information Sharing Services, Pre-publication Services [ ] will, in conjunction with the appropriate TOPIs, provide exercise specific guidance for analysts and reporters. Unless otherwise limited, these reports will be addressed, at a minimum, to ODNI and DEPT of DEF, including the participating COCOM Commander(s). Any special handling instructions requested by either the participants or the TOPI(s) can be incorporated into the guidance, to insure consistency of coverage. The guidance will include at a minimum, the following information:

(b) (3) - P.L. 86-36

- Start and end dates of exercise
- Start and end dates of coverage (usually longer)
- Information on the type of exercise being conducted
- Terrorism/threat reporting guidance and distro instructions (if applicable)
- General reporting guidance and distro suggestions
- Pertinent INs
- Sensi-check guidance (if applicable)
- IPO caveat guidance (almost always, from now on)
- Terms of the consensual collection/dissemination agreement
- Points of Contact (TOPIs and RPG)

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 (U) GLOSSARY
 

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(U) Host  
Nation

17. ~~(C//REL)~~ USSID SP0009, dated 22 February 2006 defines "Host Nation" as:

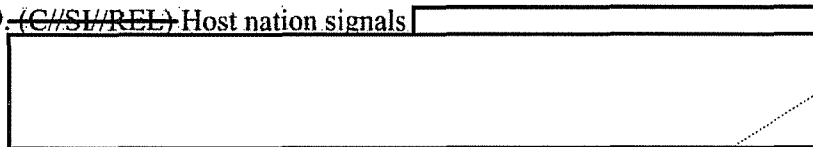
"The United Nations-recognized foreign nation on whose territory (including soil, territorial waters, or airspace) a U.S. SIGINT operation has been established, to which a temporary or permanent mobile USSS asset may be deployed, or in which a U.S. SIGINT activity is being conducted with the approval of that government. The specific U.S. SIGINT mission may be declared or undeclared officially to the host government. For mobile operations, "host nation" is defined as the foreign country in which a mobile SIGINT platform is either based or visiting either in a declared or undeclared status with the general knowledge and/or approval of that nation's government."

18. ~~(C//REL)~~ Within the SIGINT Community, the usage of the term "Host Nation" generally excludes Second Party countries, to which USSID SP0009 does not apply. Most Third Party SIGINT partner countries fall under the provisions of USSID SP0009.

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(U) Host  
Nation Signals

19. ~~(C//SI//REL)~~ Host nation signals



(b) (1)  
(b) (3) - P.L. 86-36  
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