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Remarks: <p style="font-family: cursive;">As is APEK Control and Security Officers you may get some questions similar to those contained here. The answers might be of interest to you and may serve you as a source of info should others ask questions. Good Luck</p>					
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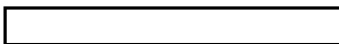
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15 July 1980

MEMORANDUM FOR: APEX Steering Group Members

FROM:


Chairman, APEX Steering Group

SUBJECT: Consolidated Questions and Answers on APEX

1. Attached are the consolidated questions and answers on APEX. They emanate from the original package issued in April and from the questions received during the 5-6 May seminar. The passage of time has altered many of the original answers. The Control Staff, utilizing your inputs, has updated the entire package.

2. Dissemination of this package within your own organizations is at your discretion. Working Group #1 is being provided a copy of this package for whatever use they deem appropriate.

Attachment -
As stated



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OF ATTACHMENT

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July 1980

These Questions and Answers set forth the US Government's procedures for safeguarding extra sensitive materials. As such, it merits and warrants the overall classification of CONFIDENTIAL in its totality. Individual questions and answers may be excised for use at the classification level indicated for each individual question and answer.

APEX STEERING GROUP

25X1

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July 1980

Questions and Answers on APEX

The following questions and answers should assist in the orientation and understanding of the APEX Special Access Control System. Answers to the questions are not (in all cases) set in concrete, and the passage of time with its inherent resolution of problems may alter some of the responses. With this in mind, use these questions and answers as a guide and learning device.

Question

1. How many levels of APEX access approvals are there?

Answer

There will be operational access approvals, which will be for individual collection projects. There will be operational subcompartment access approvals (designated "ALPHA") which will also be, in most cases, based upon individual collection systems. There will be product access approvals which will be divided into COMINT, IMAGERY, HUMINT and TECHNICAL. Finally, there will be APEX General Phase I or Phase II. Phase I will be for persons who will have physical proximity to APEX material but who will not normally have access to the information. Phase II will be for administrative and clerical personnel who must actually handle APEX material in performing such functions as typing, filing, etc. One of the objectives of APEX is to provide as much separation as possible between the information about how the collection systems operate and the product which results from the operation.

25X1

Question

2. What will be done about APEX access approvals for people who will be handling the material (such as registries, secretaries, etc.) but who will not require a real knowledge of the workings of the system?

Answer

APEX General Phase II approvals will be appropriate for people in these categories.

25X1

Question

3. Will we need to retain people in both APEX and SI/TK accesses during the transition/conversion period or will people in APEX automatically be authorized to screen/use material still caveated SI/TK?

Answer

There is basically no transition period as implied by the question. Upon the date APEX implementation is announced, it (APEX) will be the only compartmented access system in being. Access to previous systems will be based upon an equivalency table and of course access will be based upon a need-to-know and the approval of the access granting authority, i.e., the SIO involved. If SI/TK material is extracted and placed in a new APEX document, the SI/TK markings must be converted to the new appropriate APEX markings using the conversion/equivalency table.

25X1

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Question

4. What's outside of the APEX system?

Answer

Material classified at standard classification levels including intelligence information. APEX material will be marked as such. Much of what is currently compartmented will become APEX. Eventually, however, the APEX system should result in less, rather than more, compartmented material.

25X1

Question

5. Will we have to determine access approvals of individuals requiring APEX materials?

Answer

Yes, just as is done now for compartmented materials.

25X1

Question

6. Will debriefing be required each time access to a particular category of material is terminated?

Answer

Though not a legal requirement, an individual should be debriefed when access is no longer required. See paragraph 119-AGM.

25X1

Question

7. How do we find out who holds APEX access approvals?

Answer

In the same way that you now find out who holds access to SCI materials by checking with your control or security officer.

25X1

Question

8. Within the "product" category, will access to all subcategories (HUMINT, COMINT, TECHNICAL, IMAGERY) be permitted for anyone being permitted access under one?

Answer

No. Specific accesses will be approved and granted for each category or product by the appropriate SIO.

25X1

Question

9. Will APEX documents be classified by paragraph and page markings?

Answer

Yes, there will be very little change in this procedure except that APEX markings will be substituted for the various markings now in use

25X1

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Question

10. How can there be one manual for all levels of APEX approvals when not all people will have the same approvals?

Answer

The APEX manual covers the administrative handling of material of all categories. It is intended, to the extent possible, that all types of APEX materials will be handled in a uniform manner; however, individual organizations' valid and specific requirements for centralized need-to-know controls and other unique procedures can be accommodated through internal implementation instructions which do not violate APEX directives.

25X1

Question

11. Regarding the use of the term SIO; is it meant to mean major DoD SIOs or does it refer to the SIO all the way down to the individual organization and working level?

Answer

In APEX, the term SIO is explicitly defined in the Glossary of the Government Manual. SIO functions can be delegated downward. The Steering Group members have been asked to clarify by name their particular SIOs in their respective organizations.

25X1

Question

12. Under APEX, the various SIOs have expanded responsibilities. On fulfilling these SIO responsibilities, who is considered the SIO for the NSA/CCS--including the Service Cryptologic Elements of the services? Specifically, who will be the accreditation authority for APEX facilities which are SIGINT collection facilities; approval authority for access to compartments other than COMINT within the SCE's; review authority for items submitted for publication related to SIGINT or the US SIGINT System?

Answer

DoD is determining how APEX SIO responsibilities for service cryptologic elements will be discharged. At this time, since DoD has not resolved the matter, a detailed response cannot be given.

25X1

Question

13. Access controls--how far is this to be taken? In the spirit of APEX, it is feasible to have personnel within an ACF at the collateral clearance level.

Answer

It is not in the spirit of APEX to have unescorted personnel cleared only with collateral clearances in the ACF.

25X1

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Question

14. To what levels will operational subcompartments be broken down? Will there be distinct levels in each?

Answer

Individual operational subcompartments are not intended to be broken down to various levels; an individual with access approval to a subcompartment does not automatically receive all material contained in that subcompartment--the need-to-know rules will govern his access.

25X1

Question

15. Is a standardized briefing/debriefing being developed?

Answer

Yes.

Question

16. It appears that the Operational and Operational Subcompartment accesses may be a duplication. Will standards for each be developed and further defined?

Answer

If an individual is granted access to an operational compartment, that person automatically has access to any subcompartments under that compartment. Access granted to an individual for a specific subcompartment restricts that person to access to the specifically named subcompartment. Further standards are under development and will be distributed as they are published.

25X1

Question

17. Within a particular geographic area (e.g., PACOM/EUCOM), who will be tasked with overall responsibility for ensuring that material from current classified sources is decompartmented and kept outside APEX?

Answer

There is no overall responsibility assigned to a particular geographic area for operating APEX. SIOs, or those delegated SIO authorities, are responsible within their respective organizations for adherence to APEX rules.

25X1

Question

18. When will briefing material for "mass orientation" be received by SSOs?

Answer

As soon as possible. All material should be distributed by mid-August 1980.

25X1

Question

19. Are members of Congress authorized access to all levels of APEX without prior clearance data or coordination with national authority?

Answer

Yes, see Para. 109 of Government Manual for instructions.

25X1

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Question

20. DIA scientific and technical intelligence organizations, i.e., FTD, MIA, NISC, FSTC, MIIA, produce substantive finished intelligence documents. Much of their analysis requires knowledge of source. My concern is if too much action discussed in Paras 64-69 of APEX Government Manual is applied to a large quantity of data/info coming into these organizations, their analysis may be degraded. How can these organizations ensure they are "informed" to the maximum extent possible?

Answer

The SIO must grant adequate required accesses.

25X1

Question

21. I consider the DIA S&T Intel Center; i.e., MIA, FTD, FSTC, etc., as "users" of processed or raw intelligence. Their finished intel "products" are utilized by "consumers," i.e., Mil R&D, Mil Cnds, National Planners, etc. Do I have the same use/meaning of the words, "user, products, consumer" as you?

Answer

Yes

Question

22. Re APEX Government Manual, Pg 33, Para 109, mentions "Foreign National Intelligence Information." Presuming this to be purposefully chosen terminology, does this exclude "domestic" intelligence information?

Answer

Yes

Question

23. Since APEX as a system will phase in, but APEX indoctrination will not, what happens to the current indoctrinated status of an individual who refuses to sign the new security contract (Nondisclosure Agreement)?

Answer

If he refuses to sign, his access to APEX and/or other compartmented material will be immediately terminated.

25X1

Question

24. Re Operational Compartments--it is clear how will translate into APEX; however, several items are unclear:

25X1

- a. Will there be a COMINT Operational Compartment for HVCCO data about ground and aircraft-based COMINT collection R&D, tasking, capabilities, etc. If so, when will it be identified/implemented?

Answer: - Yes, in process

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24. (continued)

b. Will there be a HUMINT operational compartment?
Answer - Yes, exceedingly limited access.

c. Will APEX General Phase II suffice for administrative access to Operational Compartments? If not, will there be an Admin Compartment similar to that currently existent?
Answer - Yes, based upon a "need-to-know"; also see the AGM for utilization.

25X1

Question

25. The (SSO) ACO has heretofore not been involved in compartmented HUMINT. How will HUMINT billets be determined before NFIB agency level?

Answer

SIOs will determine the basis of need-to-know.

25X1

Question

26. What entities are to be designated as Senior Intelligence Officers? Is an SIO to perform duties as stated in the Manual?

Answer

The delegation of SIO duties from those SIO principals as identified in the AGM is strictly the concern of the principal SIO. The SIO will be asked to clarify his delegation of authority through the Steering Group members. It is the full intent that either the SIO or his delegated representative perform those duties as identified in the AGM.

25X1

Question

27. Will CINCs, (CINCPAC, LANT, EUR, etc.), receive materials?

Answer

As a general rule, no. Its distribution and transmission are severely restricted. Recommend rereading paras. 28 and 29 of the AGM.

25X1

25X1

Question

28. Does the APEX orientation and indoctrination process include the legislative branch of the US Government personnel?

Answer

To the extent that it includes the staffs with the legislative branch. Members of Congress are eligible for access to APEX without a formally established clearance and will not receive orientation and indoctrination briefings. For a detailed review regarding the legislative branch, refer to Para. 109 of the AGM.

25X1

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Question

29. Re AGM Para 17, Annual APEX billet access review. What are the reporting requirements of the January review? What documentation will be required?

Answer

To be determined. Design of 4C will eventually permit relevant management data to be produced with minimum impact upon individual ACFs.

25X1

Question

30. Will Geodetic material be flagged in any special manner?

Answer

It is likely that the rules being formulated by COMIREX will result in decompartmentation.

Question

31. For inter-agency meetings, are the hosts of the meeting to assume that participants from other agencies have the appropriate APEX access approvals. How will this be controlled and where?

Answer

Security clearances or approvals should never be assumed but should always be verified. The host of a meeting is responsible for ensuring that the access approvals of all participants have been certified to him. The channels for performing certifications will be the same as they are now.

25X1

Question

32. What APEX accesses are required to handle and use pre-APEX SI, TK, or material that has no product or compartment codeword?

Answer

Development of equivalency tables for the old and new compartmentation caveats is an extremely complex undertaking. One of the purposes of APEX is to provide greater protection than is now afforded certain types of extremely sensitive information while at the same time making certain other types of information more accessible than is possible under the present system. This requires making a myriad of value judgments to develop useful conversion tables. The Intelligence Community has just embarked upon this complex task.

25X1

Question

33. Will there be a simple Classification of "HANDLE VIA APEX CONTROL SYSTEM" for such administrative matters as access certifications and those items formerly protected as "HVCCO," etc.?

Answer

This term could be used in this way. Care should be taken, however, to be certain that the material cannot be handled under collateral classification.

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Question

34. Will control personnel require APEX clearances to issue control numbers since they will be required to know the titles of the documents?

Answer

Yes. Normally personnel performing such functions will have APEX General Phas II access.

25X1

Question

35. How will we know that a person has a certain clearance if he requests an APEX document if the numbering system does not indicate how the system is broken down into the various compartments?

Answer

The numering system will not perform this function. Accesses will be certified via your APEX Security Control Officer.

25X1

Question

36. Can a person be authorized access to "APEX GENERAL PHASE II" and one or more of the APEX product and operational compartments/subcompartments, as required by need-to-know?

Answer

This possibility does exist, but would constitute an abnormal condition. Persons who have a legitimate requirement for operational, subcompartment, or product access would not normally require or be eligible for APEX GENERAL PHASE II. APEX General Phase II is severely limited in its intended application.

25X1

Question

37. Will APEX material be filed separately or integrated with other material?

Answer

It will be handled as SCI material is now, and stored so that it is accessible only to people who are approved for access to it.

25X1

Question

38. Will a signature be required for all APEX material?

Answer

No. All hard-copy APEX material (not including electrical messages) will be signed for. Some categories of unprocessed intelligence information will also require signature.

25X1

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Question

39. How many people in any one office will have a copy of the APEX manual?

Answer

It is intended that enough APEX manuals will be issued to provide ready access to every person who has an APEX approval.

25X1

Question

40. When multiple copies are sent to an office for distribution, will the secretary for that office be responsible and sign for all copies, or will that responsibility lie with each recipient of the document?

Answer

It is intended that the recipient of the document will be accountable for it. Under normal circumstances, the secretary will sign only the package receipt and will not be responsible for individual copies contained therein.

25X1

Question

41. Will existing SCI documents be subject to inventory, accountability, audit under APEX?

Answer

ISOO Directive No. 1 governs, and APEX will not modify it.

25X1

Question

42. How will working papers such as drafts be handled? Will they have to be controlled and issued APEX numbers?

Answer

Such material will be handled as working papers. They should have all of the proper control markings affixed, but need not be issued APEX numbers until they are in final form for dissemination. Nevertheless, the content of the draft will dictate how it should be stored and who may see it. As a reminder, all hard-copy APEX documents leaving an ACF must be controlled.

25X1

Question

43. Under present published information on APEX, I envision somewhere in the vicinity of 50 manuals/directives being issued under the aegis of the system. Is this a fair assumption?

Answer

The number is probably high; not every element will require a manual. Suffice it to say that sufficient and required literature will be issued, but not in excess.

25X1

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Question

44. What controls are required for working papers and for how long?

Answer

A time limit of 180 days is prescribed for working papers. Working papers may not be disseminated outside the basic unit which created them. If such dissemination is required, then the working papers will be controlled and handled in the same manner as other controlled APEX documents.

25X1

Question

45. What will happen to portion markings, paragraph markings, etc.?

Answer

Portion markings will be used in the APEX system much as they are today. The primary modification will be the use of APEX markings instead of those for separate compartmentation systems now in use.

25X1

Question

46. Samples furnished on the APEX Administrative Handbook are inconsistent on classifying paragraphs.

Answer

The APEX System is sufficiently flexible to accommodate portion marking prescribed by the various agencies.

25X1

Question

47. Why is APEX imposing rigid controls on handling APEX non-Top Secret documents?

Answer

By definition, compartmented information, which is to be controlled by the APEX System, requires extra protection.

25X1

Question

48. Will classification and document numbers be required on all pages of all documents?

Answer

Classification, yes; document numbers, no. As an option, control numbers may be placed on each page of the document if desired. (See Para. 18, Sup I to USGM).

25X1

Question

49. Document control. Manuals state that all hard copy TS will be controlled continuously by a chain of receipts. However, the portion of the manual pertaining to accreditation states that a part of the inspection will be to locate random documents in the system. This alludes to control of all documents. Is this a valid assumption?

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Answer to Question 49.

All APEX hard-copy documents will be controlled. All hard-copy APEX Top Secret documents will be inventoried annually. Random audits will be conducted annually in each ACF for all other APEX hard-copy documents to ensure that the holdings are properly accounted for and maintained according to the APEX security manual.

25X1

Question

50. Will the stamping of APEX material be uniform (location of various markings, placement within paragraphs of text, identification of all controls)?

Answer

Yes, specific instructions and illustrations describing the uniform markings are described in the Administrative Procedures Handbook.

25X1

Question

51. Regarding the time that records are kept on destroyed documents--why five years on Top Secret and two years on Secret and Confidential?

Answer

In accordance with General Record Schedule 18-6a and 18-4.

25X1

Question

52. Who assigns APEX controls to documents?

Answer

The originator.

25X1

Question

53. Are Restricted Data and noncompartmented TS material to be a part of APEX?

Answer

No.

25X1

Question

54. Will a document need more than one cover sheet if it fits into more than one category?

Answer

No. (See Question 63.)

25X1

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Question

55. Re para 86 of the AGM. Subparas A, B, and C seem to be in conflict with subpara D. It seems cover sheets are to be used, signed by persons who have had access, etc.; however, the cover sheets are not needed if the material does not leave the ACF. Should cover sheets be used?

Answer

Yes, also see AGM paras. 97 and 98.

25X1

Question

56. Will all controls be indicated on one cover sheet?

Answer

Yes.

25X1

Question

57. Is there a reason why Secret and Confidential material will use Gray cover sheets and the others are colored?

Answer

One of the primary objectives of the APEX system is to ensure that Top Secret compartmented material is strongly controlled. The brightly colored cover sheets will highlight Top Secret material as a reminder of its sensitivity and need for protection.

25X1

Question

58. Can you still print hard-copy documents (NIEs, IIMs, etc.) and not use cover sheets?

Answer

No. (See Question 60)

25X1

Question

59. What is the distinction of cover sheets? Some say "Controlled Document" and others say "Controlled Publication."

Answer

There is little difference between these two cover sheets. A document cover sheet is intended to be placed on APEX material regardless of its physical form or characteristics (see definition of "document" in the Glossary). A publication cover sheet is intended to be placed on documents which have been produced by a printing plant. In the latter case, the printing plant could produce the entire cover sheet or merely print the title, control number, publication number, date and proper APEX logo on preprinted sheets. Their purpose is the same--to flag material in the APEX system and to preclude inadvertent disclosure.

25X1

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Question

60. Will there be a cover sheet on top of a publication's cover?

Answer

Yes, unless the publication's cover contains all of the information and markings required by the APEX system.

25X1

Question

61. Where will we get APEX cover sheets?

Answer

The same place you now get cover sheets for the existing SCI systems. Original printing of stocks will be accomplished by the CIA.

25X1

Question

62. Do we add the various operational and product codewords, or do the cover sheets include them?

Answer

You will add whatever markings are required by the document upon which you place the cover sheet.

25X1

Question

63. Some documents will contain several categories of information (operational, product, etc.). Address the precedence of the categories and the cover sheet to be used.

Answer

Precedence: a. (Blue); b. Operations (Yellow); c. Ops Subcompartment (Brown); d. Product (Red); e. Non-Top Secret APEX (Gray). The cover sheet reflecting the highest precedence of the material in the document should be used. Markings on that cover sheet should include all the markings required by the material in the document.

25X1

25X1

Question

64. Can cover sheets be xeroxed or computer-generated (black and white)?

Answer

Top Secret cover sheets will not be xeroxed, as xerox copies will not clearly show the color level of compartmentation. In certain special computer applications, it may be possible, with coordination of the Security Committee, to formulate special computer-generated cover sheets. In the transition period, computer generated cover sheets may follow present authorized practice provided appropriate markings are included. The gray non-Top Secret cover sheet may be xeroxed since the resulting color change will be minimal.

25X1

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Question

25X1 65. As a [] Control Officer, I must inventory all [] documents semi-annually per para 28D(2), AGM; i.e., count pages, ensure document control number is correct, etc. Therefore as RCO I will have access to the document. Why, then, in Para 28A, does the RCO deliver a sealed envelope to the [] addressee, when after the addressee reads the document, he will return it to the RCO for filing/destruction. Why not let the RCO check the internal document to ensure it is (1) addressed properly on the exterior envelope, (2) a complete document, and (3) properly marked, since the RCO will have access to the document anyway after the addressee reads it? 25X1

Answer

25X1 The APEX Security Manual for Government does not charge the RCO with counting pages, ensuring that the document control is correct, etc. The Manual explicitly charges the RCO with handling [] material without opening the inner envelope which is to be delivered sealed to the addressee. The addressee will then handle in accordance with the requirements of the originator. If the envelope is resealed by the addressee and so returned to the RCO, the RCO is then charged with accounting for only a sealed envelope. In some cases, the RCO will be the addressee on the inner envelope; he or she is then responsible for page counting, etc. In some cases, the RCO will receive from the addressee the returning [] protected material in an open envelope, perhaps with additional instruction; in this event, the RCO, again, would be responsible for counting pages, etc. The basic rule is that the RCO does not open the inner envelope for any purpose or at any time unless he or she is the addressee on the inner envelope or is so instructed by the addressee on the inner envelope. This prohibition outranks other instruction. [] 25X1

Question

66. Re the Seminar's example of information in the [] category; namely that intelligence which would be revealing of a violation of SALT agreement would be so included. FTD has responsibility for interpreting SALT compliance. 25X1

Answer

25X1 This limitation does not affect the processing of material within your organization believed to be of major significance to the Government of the U.S. and which has not been nominated by an NFIB member for [] protection. The designation/handling of [] material is intended primarily for the Washington area and cannot be so determined until the information is available by the NFIB member in this locale. [] 25X1

Question

67. Will all registries have a standard way of operating with APEX material?

Answer

Yes. There will be standard operating procedures established, however, local requirements may dictate variations. [] 25X1

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Question

68. Will information outside APEX be handled via the ACO, (i.e., compartmented IMAGERY, SIGINT, etc.)?

Answer

No. The duties of an individual assigned as an ACO do not include other than APEX material. If this same person is assigned to handle other data, then it is accomplished under those other assigned duties and not as an ACO.

Question

69. Will APEX documents be allowed to be delivered directly to requesters?

Answer

Under current SCI systems, compartmented material is transmitted from control point to control point to be delivered to the requester by his control facility. This system provides for appropriate receipting and record keeping. The APEX control system will operate in the same manner.

25X1

Question

70. For an access to an ACF, one concludes that an individual would require both COMINT and IMAGERY APEX accesses. What about those interrelated TECHNICAL Product compartments?

Answer

Unescorted access to an ACF requires that the individual be granted access, by the responsible SIO, to an APEX compartment which that particular ACF has been accredited to handle and/or store. This continues to restrict access within the ACF to that area designated by the ASO for that specific individual to perform his/her duty on particular compartmented APEX material. Unlimited access to an ACF normally requires that the individual have access for all that the ACF is accredited for, however, the need-to-know rule prevails. ACFs are not buildings; ACFs are explicit facilities certified to hold specific categories of SCI materials.

25X1

Question

71. Who will be assigning APEX numbers, the component or offices, or what?

25X1

Answer

Control numbers will be issued in virtually the same way as at present.

Question

72. How will APEX material be controlled in components where there are only one or two cleared individuals?

Answer

It will be controlled just as it is now for the other SCI systems, through the control facility, issued on a by-name basis, and stored in a properly certified ACF, accessible only to persons having the appropriate access approval(s).

25X1

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Question

73. Will existing SCI facilities automatically convert to APEX Control Facilities?

Answer

If determined by the responsible SIO or program manager to merit continuation, yes.

25X1

Question

74. Will each ACF have to recertify the category of material they are eligible to receive to the Central Register at DIA?

Answer

No, the SIO will recertify the category of material they are eligible to receive to the Central Register in the APEX Control Staff.

25X1

Question

75. How will categories of APEX held by any given facility be known to other like facilities?

Answer

Information on the categories for which a given ACF is certified will be obtained, as it is now, from the agency to which the ACF belongs. Planning for APEX includes an effort to computerize this information under the 4C System.

25X1

Question

76. How frequently and to whom will listings of APEX Control Facilities be provided?

Answer

Frequency to be determined, but should be approximately quarterly. As indicated above, lists will be provided to compatible groups on a need-to-know basis only.

25X1

Question

77. How will changes in "certification," i.e., in categories of material held, be verified pending receipt of the latest APEX Central Facility listing?

Answer

Accreditation need only be accomplished once, i.e., the examination of the physical facility to meet storage/handling requirements. Certification of access or material held by an ACF will be authorized by the appropriate SIO or program manager. Certification listings for various accesses will be held by APEX Control Facilities Registry. Until the IOC of the 4C system and the interim hand-built facilities registry is accomplished, this information will have to be obtained from the SIO or program manager.

25X1

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Question

78. Must APEX material be used only within an APEX Control Facility?

Answer

Yes, any exceptions would require approval of the SIO.

25X1

Question

79. Within an APEX Control Facility, will compartmented material have to be further controlled because not all personnel have the same access approvals?

Answer

Yes, just as the current SCI systems are controlled to ensure access only by those with appropriate approvals. The need-to-know principle must be vigorously applied.

25X1

Question

80. How will the open storage concept of operating be facilitated under APEX?

Answer

Open Storage facilities will be certified as in the past where clearly warranted.

25X1

Question

81. Will an APEX Control Facility have to be individually certified for each APEX product and operational compartment/subcompartment that it is eligible to receive?

Answer

Yes. Otherwise, each ACF could receive anything or everything, which is not the intent. The Central Access Registry will provide ACF listings of facilities accredited and certified for compatible levels of APEX materials. However, once the ACF meets the physical security criteria for APEX control, submission of a complete additional accreditation package will not be necessary within a reasonable period of time. It is not necessary to reinspect the facility in conjunction with additional certifications, unless reinspection is due in accordance with paragraph 52 of the APEX Government Security Manual.

25X1

Question

82. Will analytical, historical files controlled under the old system require conversion to APEX?

Answer

No. As reiterated several times during the seminar, no retrofit is required, but it is desirable.

25X1

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Question

83. Should the term "Special Security Office(s)" (e.g., SSO SAC) be continued or be replaced by the terms "APEX Control Facility" (e.g., ACF SAC) and APEX Control Officer/APEX Security Officer (e.g., ACO SAC)?

Answer

The term Special Security Office (SSO) will be replaced by the term APEX Control Facility (ACF).

25X1

Question

84. Where will the APEX Control Facilities be located?

Answer

It is unlikely that there will be any drastic change in the number or location of Control Facilities under APEX. They will probably be the same as they are now.

25X1

Question

85. Will there be control officers in each registry for better accessibility?

Answer

Whether the control officer is actually in the registry or not, every registry must have access to a control officer in order for the system to work. This applies to the current system as well as to the APEX system.

25X1

Question

86. What is the difference between ACO and the ASO?

Answer

Refer to Paras. 10, 11, 24 and 25 of the AGM.

25X1

Question

87. Will there be separate control officers for COMINT, HUMINT, etc., or will one person have all the clearance controls?

Answer

Generally, APEX control officers will be responsible for all APEX materials in their organizations. It may be necessary, in some cases, to have separate control officers for different collection projects. This will be more a reflection of the needs of the receiving organization than of the requirements of the producer.

25X1

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Question

88. Once the APEX system becomes more operational, how does one advise users concerning the fusing or sanitization or decompartmentation of the "old" SCI materials until definitive guidelines are published?

Answer

New documents will be controlled under APEX rules. Conversion/equivalency formulas will be created to assist users in marking new documents containing old SCI information in accordance with APEX guidelines.

25X1

Question

89. How will routine COMINT sanitization be handled under APEX?

Answer

The SIGINT Committee will have to formulate rules for routine sanitization of COMINT. Meantime, follow the existing manuals.

25X1

Question

90. How will conventional COMINT be distinguished from overhead?

Answer

It will not be so distinguished. See the descriptions in the Final Report of Product Compartments.

25X1

Question

91. To what level will routine COMINT sanitization authority be allowed?

Answer

COMINT sanitization authority will be allocated in the APEX COMINT manual to be prepared and coordinated by a collaboration of the SIGINT Committee. It is an APEX objective that more sanitized COMINT will be produced in the future.

25X1

Question

92. The APEX Admin film presented an example of a Secret APEX imagery document. Can you describe under what conditions we could see Secret APEX imagery?

Answer

That duplicated imagery which meets decompartmentation rules and guidelines will be issued at the collateral level. Likewise, reports or other documentation on this imagery will carry similar classification markings as appropriate.

25X1

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Question

93. How do you expect to convince anyone that APEX will be supportive of an organization's mission when it appears that several individual aspects of the system conflict considerably with one of APEX's stated objectives; i.e., to improve NFIB support to tactical forces?

Answer

A positive aspect of APEX is the charge of the NFIB Final Report that the Community will adopt a positive and aggressive program to issue as much intelligence as possible outside the APEX compartmentation system. The decompartmentation of large segments of imagery and radar emissions as well as the charge for authorities to vigorously sanitize COMINT ought to be convincing.

25X1

Question

94. Emphasis has been on "all-source" intelligence--question re term "fusion."

Answer

Fusion refers to mixture of operational and product information. All-source analysis is not under attack. What is desired is an end to source or method revealing information in intelligence publication and an end to mixture of collection information in intelligence information reports.

25X1

Question

95. How will the DCI enforce the proscription concerning the fusion of product and operational and/or operational subcompartment data? Will such fusion be a security violation punishable by fine or imprisonment? Is such fusion, in fact, acceptable under certain circumstances?

Answer

Fusion is a "bad thing" under APEX concepts. It should be avoided whenever possible within the limits of good sense. When management or operational considerations require it, fusion of system and product data will occur.

25X1

Question

96. Will the noncompartmented NID be issued outside the APEX system as a straight secret document or will it carry the gray cover sheet?

Answer

The noncompartmented NID will be issued outside the APEX system and will not need an APEX cover sheet.

25X1

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Question

97. How will decompartmentation/sanitization be affected?

Answer

Under the newly established threshold criteria, the vast majority of imagery and technical-ELINT will not be compartmented. The COMINT producers will attempt somewhat more sanitization, but the basic responsibility will continue to lie with the user community under SIGINT Committee rules. For other than ELINT, the user will handle under SIGINT Committee established rules. HUMINT decompartmentation/sanitization rules have not yet been established. 25X1

Question

98. Will detailed sanitization and/or decompartmentation instructions be published for all APEX categories or just for COMINT?

Answer

Definitely for COMINT, IMAGERY, and TECHNICAL. Instructions for HUMINT will be published if required. 25X1

Question

99. Will detailed classification guides be published to assist in classification of sanitized and decompartmented materials?

Answer

Yes. Executive Orders and ISOO Directives so specify. 25X1

Question

100. Will such a guide (ie., detailed threshold criteria) be published to assist in determining both compartmentation and classification of materials to be protected within the APEX System?

Answer

Yes. Threshold criteria have been established in the APEX Final Report. More specific data will be developed if required. 25X1

Question

101. To reduce current SCI holdings, will there be more liberal decompartmentation/sanitization guidance promulgated--present compartmented materials (SI in particular)?

Answer

Purging (destruction) is advocated as the prime method of reducing SCI holdings. Remarketing of old documents is not required and should not be attempted without explicit guidelines from the originator. There is no intent to liberalize any guidance for the intended purpose of reducing SCI holdings. SCI material will continue to have the necessary protection afforded to it.

25X1

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Question

102. When will classification guides on the various product or compartments and operational compartments/subcompartments be issued?

Answer

As soon as they can be formulated. This will probably be around the end of 1980.

25X1

Question

103. Will COMINT still be divided into the three categories and one subcategory (e.g., Category III, Category II, etc.) or will these terms become passe?

Answer

COMINT will obviously require subdivision into categories. The SIGINT Committee will address changes in this area. For the time being, the present system will continue.

25X1

Question

104. Will the term "Sensitive Compartmented Information (SCI)" become passe?

Answer

There is no intention at this time to delete this term. It is generic in nature in that it explains a broad range of data and is apropos under APEX as well as past compartmented systems.

25X1

Question

105. Will APEX material, at all levels of classification, automatically be extended beyond the six-year period for declassification?

Answer

Yes, as provided in the APEX manuals.

25X1

Question

106. What markings will be used if a document contains old codeword material and new APEX material? Or is it not possible for such a document to exist?

Answer

If you are speaking of a new document, such a document should not exist. It should be marked initially with the proper APEX system markings. A conversion table will be produced as a guide to assist in properly compartmenting material which has been taken from an older document and included in a new APEX document.

25X1

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Question

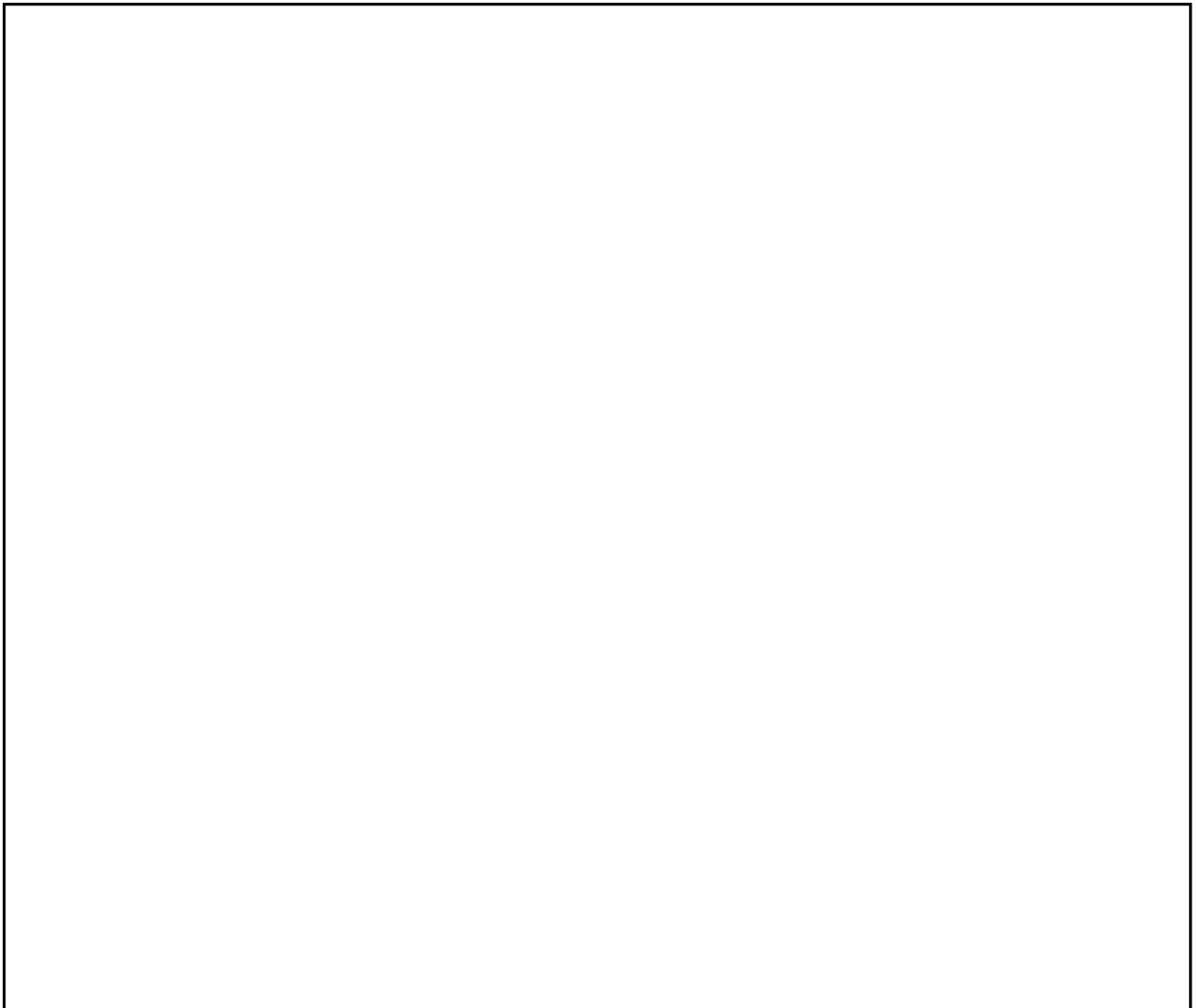
107. How much latitude will the various DCI committees (COMIREX, SIGINT, etc.) have when they begin writing the APEX decompartmentation manuals (e.g., APEX Imagery Manual)?

Answer

Unlimited latitude, provided they abide by the rules of the APEX Manuals and the decisions embodied in the Final Report of the NFIB Working Group. To modify either would require additional approval of the NFIB. In the imagery area, NFIB decisions (approval of the Final Report) are direct instructions to modify significantly prior COMIREX documentation--that modification is in process.

25X1

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Question

116. Will APEX include material that is solely "HANDLE VIA APEX CHANNELS ONLY" with no product, compartment or subcompartment indicator? If so, what APEX access will be required to review such material?

Answer

An objective of APEX is to eliminate the use of compartmented channels for information which does not clearly warrant special protection. As a rule, information not falling into a specific APEX compartment will not be afforded APEX protection. If the information requires compartmentation, it must have some relationship to an APEX project, program, or product, and should be marked accordingly. There will be exceptions to any rule and APEX is subject to these exceptions. In specific cases, the notation "HANDLE VIA APEX CONTROL SYSTEM" may be used without project names, codewords, or product indicators. This usage should be held to a minimum.

25X1

Question

117. Who will determine initial distribution of APEX TECHNICAL data to users? What will be the basis of such a determination?

Answer

When the manual for the TECHNICAL compartment has been written by the SIGINT Committee, SIOs will designate their personnel who require access to this product compartment, and they will be approved for APEX TECHNICAL access. The judgment by the SIO for the individual's need-to-know will be the basis for such determinations.

25X1

Question

118. If the APEX Government Manual is in opposition to, or provides more current guidance on a subject than DCIDs, what takes preference?

Answer

The APEX Manual is not believed to be in conflict with any DCID. In future revisions of either DCIDs or the Manual, careful coordination by the APEX Control Staff will be required to avoid conflict or contradiction.

Question

119. Where does the Community obtain its supplies of Nondisclosure Agreements required in paragraph 16C of the AGM?

Answer

Supplies of Nondisclosure Agreements will come from the CIA when the agreement has been formulated. Questions or problems regarding this form should be addressed, through channels, to the APEX Control Staff.

25X1

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Question

120. When does the Community have to start using the Nondisclosure Agreement?

Answer

All personnel will sign the Nondisclosure Agreement (NDA) before having access to APEX-controlled material. An ideal time would be during the orientation process. After APEX implementation, APEX indoctrination will require the execution of the NDA.

25X1

Question

121. Who will be responsible for giving indoctrination briefings on the APEX system?

Answer

This responsibility will be carried out by APEX Control Officers and APEX Security Officers just as officials designated within the current compartmented systems perform this function.

25X1

Question

122. Will the annual revalidation of the need-to-know for APEX billets/positions in DoD require a lot of burdensome, and largely unnecessary, paperwork?

Answer

It will require an effort on the part of the SIO and his people, but not an unnecessary effort. If the number of accesses remains static or continues to increase every year, it will not reflect a serious review of need-to-know validations. APEX is intended to bring about a decrease in SCI access requirements by making intelligence available outside compartmented channels.

25X1

Question

123. Does paragraph 20, AGM, on re-entry to the APEX system pertain to DoD personnel who are debriefed from access when moving from one command or agency to another?

Answer

Yes. Personnel formerly approved for APEX access, and who once again require such access, will be treated the same as personnel gaining initial access and will be processed in accordance with para. 16 of the AGM.

25X1

Question

124. Will there be special indicators on badges to identify individuals who are approved for access for APEX, and will there be different symbols for different APEX categories?

Answer

The use of a badge system to reflect APEX access approvals is a matter to be explored at a later date.

25X1

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Question

125. Why should the APEX codewords be CONFIDENTIAL or SECRET? What "identifiable" or "serious" damage is done to the national security if an APEX codeword is compromised? How does their being classified meet the test of E.O. 12065?

Answer

The APEX Final Report provides that codewords may be classified. Owners of codewords should be prepared to justify the classification if they claim it.

25X1

Question

126. What assurances are there that there will be a sharp reduction in production of hard-copy APEX TOP SECRET?

Answer

There are no assurances. But if everyone acts in good faith to implement APEX, it is difficult to visualize how levels of TS SCI can remain as high as today.

25X1

Question

127. What assurances are there that the criteria for classifying material TOP SECRET will be stringently and legitimately applied?

Answer

There are no assurances. Everyone is expected to follow the President's instruction. APEX administrative procedures will make the reduction of APEX hard-copy material a bureaucratic necessity.

25X1

Question

128. Who on the DCI Staff or within the Intelligence Community will monitor and enforce a sharp reduction in the marking of APEX material TOP SECRET by collectors and production elements?

Answer

No specific person on the DCI Staff or within the Intelligence Community (due to the need-to-know) can do this. EO 12065 specifies every person, through channels, is responsible for proper classification at all levels.

25X1

Question

129. Is all APEX COMINT looked upon as being foreign government information and thus classified for 30 years?

Answer

Under present rules, the answer is yes.

25X1

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Question

130. What happens when the access list inside a hard-copy APEX TOP SECRET publication is filled? Is a document cover sheet then affixed to record access to the publication?

Answer

A simple lined sheet of paper, appropriately identified, may be placed under the cover sheet to record additional names. A document cover sheet should not be used in this example.

Question

131. How long must dissemination lists be maintained?

Answer

In the case of it becomes part of the document and is handled accordingly. The logs on the cover sheets which become a record of dissemination will remain as part of the document. These cover sheets also are utilized as a certificate of destruction which will maintain the dissemination log for an extended period of time after destruction.

Question

132. Are NSA printed SIGINT reports and the NSA Daily SIGINT Summary considered hard-copy documents subject to the accountability and control procedures prescribed for APEX hard-copy TOP SECRET documents?

Answer

A simple rule of thumb is that hard-copy material is controlled and electrical messages are not.

Question

133. It would appear less unwieldy, and more conducive to operations, if APEX hard-copy TOP SECRET documents were considered "reproducible" unless such reproduction was specifically proscribed. Is this possible?

Answer

No. In accordance with the security manual (para. 89), reproduction must be authorized by the originator. An earlier question asked how the amount of TS APEX can be reduced. One way is to make it less convenient to duplicate.

Question

134. What constitutes "reproduction"? Is a voluminous extract reproduction? Is a single page extract reproduction? Is putting a document into a computer data bank and then printing it (or portions of it) reproduction?

Answer

All of the above is reproduction with the exception that computer stored and produced material is not subject to hard copy accountability.

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Question

135. Is APEX material in a computer considered "raw intelligence" under para. 97 and 98 of the AGM? If not, how is such material inventoried?

Answer

APEX material in a computer cannot be inventoried by conventional security practices and therefore the APEX manual excludes it from such accountability.

25X1

Question

136. How will personnel currently having SI only and SI and TK access be "converted" to the APEX product compartments?

Answer

At the beginning of APEX it is presumed that the SIO will grant a one-for-one conversion which will be SI to APEX COMINT and TK to APEX IMAGERY or APEX TECHNICAL, as appropriate.

25X1

Question

137. Will there be limits on numbers of individuals cleared to various APEX areas?

Answer

If need-to-know were being applied correctly today, there would be no diminution of information received under APEX. It is the SIO's responsibility to grant clearances appropriately.

25X1

Question

138. Why will the current SI and TK codewords be continued versus simply calling such material as APEX COMINT, APEX IMAGERY, with appropriate classification?

Answer

Because immediate elimination of current SI & TK codewords is not cost effective. The new APEX generic terms will be utilized. Some SI codewords will continue in use for some time until software can be modified in the normal course of maintenance and updates. Codewords on old system compartmented documents will also remain because there is no intent to retrofit older documents with new caveats.

25X1

Question

139. Will there be a ceiling on DoD APEX billets?

Answer

Again, as discussed at the seminar, there is no formal imposed billet system under APEX and no predetermined DCI ceilings. If the DoD desires to maintain a billet system, then they may. Not at the immediate outset, but in the near future, it is anticipated that the number of accesses to APEX will decrease rather than increase, and as reiterated during the seminar, large increases to the system will be brought to the attention of the DCI.

25X1

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Question

140. If there are no billets, per se, how can accountability be maintained?

Answer

Accountability should not be confused with the need-to-know by position. The SIO grants access based upon the individual's need-to-know because of his job, after establishing that the individual meets the security criteria. Accountability in APEX is therefore accomplished by people, not positions. Individual ASOs may use whatever technique they desire to achieve the objective. 25X1

Question

141. Is there any objection to DoD using billet numbers and billet titles to identify positions/incumbents requiring APEX access? Many commands/agencies/departments currently use some sort of computerized data base to manage and identify "cleared" personnel. As people are eventually briefed for various APEX accesses, many of the current systems will run out of space to indicate each access involved. Is this problem being considered?

Answer

There is no objection to DoD using billet numbers. 4C will accept billet numbers and will not run out of space, nor will SPECLE run out of space. The 4C working group is considering all such problems. 25X1

Question

142. Since APEX precludes compartmentation of codewords, will the current COMINT codewords, TK source indicators, and indicators become merely CONFIDENTIAL? 25X1

Answer

Project names and codewords will not be compartmented. They may be CONFIDENTIAL or SECRET, but the proprietor must justify their classification. 25X1

Question

143. Will APEX supersede the codewords that are used today?

Answer

Most codewords will remain the same, as will project names. The principal changes will be in the abolition of the "channels" caveats, such as HANDLE VIA COMINT CHANNELS, and in the product designator stamps: COMINT, IMAGERY, HUMINT, and TECHNICAL. 25X1

Question

144. Will the APEX Steering Group, the APEX Control Staff or CIA provide the Community with the rubber stamps used in the APEX system?

Answer

CIA will provide an initial supply of the new stamps. Many of the old stamps will continue to be used for some time, so caution must be exercised in their disposal. 25X1

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Question

145. What will happen to GAMMA material?

Answer

In most cases, it is likely to become "TOP SECRET APEX COMINT GAMMA."
In some highly sensitive cases, it may become [] It should be noted that normally [] material may not be transmitted electrically. []

25X1
25X1

Question

146. Will GAMMA material (hard copy and message) still be addressed to a specific control officer?

Answer

Yes.

Question

147. Won't the incorporation of some GAMMA into the [] category either unnecessarily proliferate [] or unduly restrict GAMMA?

Answer

[] has stringent restraints. Some GAMMA will convert to [] but only with DCI approval. All GAMMA does not appear to meet the criteria for [] protection. []

25X1
25X1

Question

148. When the 4C system is fully operational, certain agencies in the Washington, DC area will be able to immediately update the APEX Central Access Registry. What is the current thinking concerning agencies/commands not initially tied into the 4C system? How do they update the Central Access Registry?

Answer

By advising their parent organization by the most expeditious means, of changes in their access approvals. []

25X1

Question

149. Will submission of investigative packages for SBIs be handled as they are now or will the 4C system change this also?

Answer

There will be no changes under APEX in submission of investigative packages for Special Background Investigations (SBIs). []

25X1

Question

150. Has it been considered what impact APEX will have on automated commo facilities, specifically:

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Question 150 continued:

- (1) Software changes on communications format--end processors
- (2) Inter-netting of dedicated intelligence and command and control systems
- (3) Planning of new hardware and software in support of SIGS, AUTODIN II, etc.

Answer

See Phase IV of Final Report. Plan for Phase IV, except for 4C, is still in early stages. The extended implementation period for APEX reflects common concern on the impact of APEX on automated systems in general.

25X1

Question

151. Will there be a computerized access/billet roster to bridge the gap between the existing systems and the 4C System?

Answer

No. SPECLE will do what it can, but not much more is expected than is presently being provided.

25X1

Question

152. How will the 4C System deal with and record one-time accesses? Short-term (e.g., for exercises, schooling, etc.) accesses?

Answer

In the same manner as any other access.

25X1

Question

153. How will transfers-in-status be handled under APEX?

Answer

When 4C is operational, in-status transfers can be handled within the system. Prior to 4C these transfers should be accomplished using current procedures.

25X1

Question

154. How will National Guard/Reserve personnel be granted access to APEX? How will this be done when they are contractors not acting as Reservists?

Answer

Reservists will be granted access through their services. Contractor personnel will be granted access through the US Government sponsor. The use of access approvals obtained in one capacity for activities in another role will require certification by the granting SIO, based upon need-to-know.

25X1

Question

155. How will exercise use of APEX materials be treated?

Answer

By existing rules until such rules are replaced or updated.

25X1

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Question

156. In Phase I of APEX when the "HANDLE VIA APEX CHANNELS ONLY" stamp is authorized for use, how will material that is SI, TK, be distinguished? 25X1

Answer

It will be caveated as APEX COMINT, APEX IMAGERY, APEX TECHNICAL or one which is equivalent to the presently in being. Use of equivalency tables will aid in this process. 25X1

Question

157. Will it be necessary to use APEX Control Numbers when the "HANDLE VIA APEX CHANNELS ONLY" stamp is first used? If so when will such numbers be issued?

Answer

Yes. Numbers will be issued prior to the implementation date. 25X1

Question

158. If message traffic, raw intelligence or intelligence information containing APEX and/or SCI material with previously prescribed markings is transferred from one APEX Control Facility to another, how is the material to be receipted for since there will be no APEX Control Numbers involved?

Answer

By pouch receipt, with description of material covered. 25X1

Question

159. What volume of compartmented material will be controlled, all or part of it?

Answer

All APEX hard-copy documents will be controlled in accordance with the AGM and Supplement I thereto. In the early stages of the APEX system the volume of material under control will probably be similar to what is controlled at the present time. It is planned that decompartmentation and sanitization will permit a drastic reduction in the amount of material requiring compartmentation. 25X1

Question

160. Will APEX control numbers be limited to eight digits, and will there be any systematic breakdown such as now exists within the various categories (SI, TK, 25X1

Answer

Yes, control numbers will consist of eight digits and, no, there will not be a division such as you describe because there will be only one control system-APEX. 25X1

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Question

161. Will there be a numbering system for each APEX compartment?

Answer

No! There will be one APEX numbering system for Government and one numbering system for material generated in the industrial area.

25X1

Question

162. Will the APEX Control Staff develop a standard, uniform log to be used for audit of APEX hard-copy TOP SECRET, SECRET and CONFIDENTIAL material throughout the APEX Community?

Answer

It is an excellent idea and the Control Staff is pursuing this approach. No specific deadline dates have been established and any recommendations would be appreciated.

25X1

Question

163. Must there be a continuous receipt system for TOP SECRET material down to the individual personally accountable for the document?

Answer

Yes--for hard-copy material. Remember also that receipt is required for SECRET and CONFIDENTIAL hard-copy material that leaves an ACF.

25X1

Question

164. Will there be a simple, uniform receipt for both documents and envelopes? Will the system of receipts be uniform throughout government and industry? Will there be uniform logging and audit procedures throughout the system?

Answer

A working group of the APEX Steering Group (ASG) was tasked to review this problem. They concluded that a uniform system is not feasible at this time due to the varieties of automation systems employed and the lack of such systems. This will be a continuing goal for the ASG.

25X1

Question

165. Will there be an audit every year for controlled APEX documents?

Answer

Yes. Such audits are required by Executive Order 12065 and ISOO Directive No. 1.

25X1

Question

166. What recordkeeping is required for APEX document inventory and destruction?

Answer

APEX recordkeeping and requirements are outlined in the manual and are similar to old requirements. It is anticipated, however, that the APEX instructions will be observed.

25X1

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Question

167. Will cognizant ASOs be advised of what the contractor ASOs are being told? How are all SCI contractors being briefed? When?

Answer

The ASO will normally be the source of contractor ASO (CASO) information. The ASO will have the APEX Security Manual for Industry and should be cognizant of what the particular COTR is telling the contracting organization. He will be the conduit for which the instruction to the ASO will pass. Contractors will be briefed by their US Government Sponsor prior to APEX implementation.

25X1

Question

168. Will instructions to contractors by various Sponsors be the same, similar, or divergent?

Answer

Instructions will be tailored to specific circumstances, but will also be in consonance with the APEX Security Manual. The US Government Sponsor will provide guidance and materials and will approve the briefing by the CASO that will be given to each employee.

25X1

Question

169. Will CASOs brief their own employees or will USG ASOs be required to do this?

Answer

To be determined by the particular USG Sponsor.

25X1

Question

170. Will contractor APEX Security Officers be given copies of DCID 1/14 and DCID 1/20 as reference materials since they are mentioned in the APEX Industrial Manual?

Answer

This is at the discretion of the US Government Sponsor.

25X1

Question

171. Have any avenues for expedited resources (personnel required for implementation) been explored? Special program element for funding and personnel?

Answer

4C has been funded. No other resources for APEX will be available in FY 80. Present planning anticipates that individual agencies must seek resources as part of their normal programming or reprogramming effort in FY 81 and beyond.

25X1

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