APPENDIX D

TAB K

COUNTERINTELLIGENCE SURVEY/CHECKLIST

D.K.1 General

Counterintelligence surveys are conducted during peacetime as well as in times of hostilities. They are used both inside and outside the continental U.S. The surveys are conducted by counterintelligence survey teams which should be members of the SLRP. The survey teams are organized to reflect the anticipated security requirements of the MPF operation. Typically, the teams will include—

a. Counterintelligence officers/specialists

b. Physical security specialists from the provost marshall

c. Communications specialists

d. ADPE security specialists

D.K.2 Counterintelligence Survey/Checklist Format

a. Name: _____

b. Location: _____

c. Type: _____

D.K.2.1 Functions and Activities in the AAA

The following questions should be answered by the counterintelligence survey teams:

a. In addition to the MPF, what troops, units, and command elements are stationed in or control the AAA?

b. What military activities (conventional, unconventional, or special) take place?

c. What military material is produced, processed, tested, or stored in the AAA?

d. Is there any military significance to MPF operations occurring in the AAA?

e. How important to national security are the activities that take place in the AAA?

f. What activity in the AAA should be veiled in secrecy? Why?

g. What information about the AAA would be of interest to hostile forces? Why?

h. Is there an alternate site for the off-load?

i. Are alternate sites suitable?

j. Is there a key facility/organization operating in the AAA?

k. Is there any sensitive material or equipment stored, tested, or developed in the AAA?

l. Is the AAA a likely target for espionage?

D.K.2.2 Physical Location and Description of the AAA

a. Provide a physical description of the general area surrounding the AAA. Pay particular attention to road networks, rail facilities, air facilities, transportation, and terrain. Include a general physical description of the entire AAA. If possible, provide a map, sketch, or aerial photograph and the following information:

- Area and perimeter
- Numbers, types, and locations of buildings, and relationships among the various buildings
- Roads, paths, railroad sidings, canals, and rivers on the premises of the AAA
- Wharves, docks, and loading platforms on the premises
- Any other distinctive structures or features

b. Note any particularly vulnerable or sensitive points in the AAA, and reasons for vulnerability or sensitivity. Pay particular attention to the following:

- Command element /Headquarters buildings
- Operations/crisis action facilities
- Repair shops (armor, vehicle, aircraft, etc.)
- Power plants
- Transformer stations
- Warehouses
- Communications systems/facilities
- Fuel storage
- Water tanks, reservoirs, supply systems
- Equipment assembly areas
- Ammunition dumps
- Aircraft
- Firefighting equipment
- Military police/reaction force location reliability
- Special training/training sites

D.K.2.3 Perimeter Security

Describe the perimeter and physical barriers. Describe or answer the following:

a. Type of fence or other barrier around the AAA which provides security

b. Type of material of which the fence/barrier is constructed

c. Height of the fence/barrier

d. Is the fence/barrier easily breached?

e. Is the top protected by barbed wire outriggers?

f. Are there any breaks, holes, or gaps in the fence/barrier or hole under it?

g. Are there any tunnels near or under the fence/barrier?

h. Are vehicles parked near or against the fence/barrier?

i. Are piles of scrap, refuse, or lumber kept near the fence/barrier?

j. Patrol and check the fence/barrier for evidence of tampering

k. Are there any pedestrian and vehicle gates?

l. Are unguarded gates firmly and securely locked?

m. Are gates constructed in a manner which enables identification and credential checks?

n. What are the operating hours for each gate?

o. Are there any rights of way railroads, sewers, or other weak points in the perimeter?

p. Are weak points guarded, patrolled, or secured?

q. Is the perimeter equipped for illumination during hours of darkness?

r. Where are lights located?

s. Identify dead spots between lighting

t. Is there backup or emergency power for lighting?

u. Does the lighting inhibit/hamper security force observation?

D.K.2.4 Perimeter Security Force

Describe the organization of the local security force:

a. Strength of the perimeter and security forces

b. Number and location of guard houses

c. Length of perimeter covered by each post

d. Reaction force capability

e. Length of watch for each post

f. Weapons used by the guards

g. Level of training received by each member of the security force

h. Instructions given to security forces regarding identity checks and challenges

i. Vehicle checks being conducted

j. Watchtower that facilitates observation of perimeter

k. Height and location of each watchtower

l. If roving patrols are used, how many—strength, frequency, routes, or other activities?

m. What communications are available to the guard force?

n. Post the fire support plan in the guard shacks

D.K.2.5 Security of Buildings and Structures

a. List the nature and purpose of key buildings:

- Location of the buildings
- Activities that take place in the buildings
- Material/information developed or stored inside the building
- Machinery or equipment inside the building
- Is the building a vulnerable point? Why?

b. Describe the exterior, interior, and surroundings of each building:

- Design and construction
- Number of stories or height
- Type of construction material used and percentage of equipment used
- Does the building have a basement?
- List other materials used in the exterior construction
- Describe walls, floors, ceiling, and roof.
- Is the building safely designed and constructed?
- Is the building properly maintained?

- List all means of exit or entry
- Are entrances properly locked or safeguarded to prevent unauthorized entry?
- Are windows and skylights screened, grilled, or barred?
- Can unauthorized entry occur in any manner?
- Are entry and exit facilities adequate to meet an emergency situation?
- What method of key control is used?
- Who and where is key control maintained?
- How rigorously is it kept?
- Who is authorized a receipt for the keys?
- Are passes, badges, or access rosters used to restrict building entry?
- Are controlled access methods enforced?
- If building is sensitive or vulnerable, has it been declared restricted and marked as such?
- Are daily checks conducted in areas where classified material is stored?

c. Describe the guard and patrol systems around the building:

- What are the duties of the guards/patrols?
- Are high-intensity lights used on the exterior of the building?
- Is there a reactionary security force?
- What is the response time?
- What is the size of the guard/reactionary force?
- What are the means of activating the guard/reactionary force?

d. Determine the security of electrical equipment:

- Is there auxiliary lighting?
- Are circuit breakers properly protected?
- Are telephone junction boards protected?

e. List the frequency of periodic checks made throughout the building in order to detect—

- Areas that might conceal explosives, incendiary devices, or audio/visual equipment
- Tampered wiring, or broken or loose electrical connections or wires
- The presence of suspicious packages or bundles

- Any dangerous practices, which may result from negligence, or deliberate attempts of sabotage

D.K.2.6 Security of Piers, Docks, Wharves, and Loading Platforms

a. Describe the location, nature, and purpose of each pier, dock, wharf, or platform, including—

- Administrative supervision of the area
- Type of security force utilized for each
- Measures taken to prevent loitering
- Measures taken to prevent unauthorized observation of loading and unloading
- Protection against mechanical sabotage, arson, or other dangerous practices
- Precautionary actions taken to control access or entry

b. Describe traffic conditions:

- Are inspections of deliveries conducted in order to guard against sabotage?
- Are precautions taken to conceal types of loading or unloading requiring secrecy?
- Are vehicles, railroad cars, and POVs checked for sabotage devices?
- Is the movement of drivers and helpers around the AAA controlled?
- What type of concealment is used to mask the movement of personnel and material?

D.K.2.7 Motor Pools, Dismount Areas, and Parking Areas

Describe security measures at each facility, ensuring that—

a. Areas are properly guarded

b. Vehicles are checked and assigned only to authorized personnel

c. A system is in place to check vehicles

d. Security measures for POL, fuel, tools and equipment are used to prevent theft, sabotage, or fire

e. Vehicle checks are conducted for detecting mechanical sabotage

f. Personnel are trained in detection of sabotage

g. Provisions are made to prohibit parking of POVs in all areas

h. POLs are tested for contamination

i. Parking/staging areas are restricted and supervised

j. Parking arrangements are consistent with security against sabotage or terrorists

k. Provisions are made for visitor parking

l. Parking arrangements do not impede traffic flow throughout the compound

m. Parking arrangements do not impede the use of firefighting or other emergency vehicles

D.K.2.8 Power Facilities and Supply

a. Provide a description of supply, facilities, and security measures, including—

- The type of power in the AAA
- The peak load of electric power
- The percentage of electrical power generated in the AAA
- The AAA's electrical generating capacity
- The percentage of electrical power purchased from outside sources
- Whether current sources are ample to provide a reserve beyond full load demands
- From whom the electrical power is purchased
- Whether an alternate or auxiliary electrical power system is available for emergency use
- Whether an auxiliary system can be used immediately
- How many and what kind of power substations and transformers are located in the AAA
- Whether control panels, pressure, and control valves are in good order and checked frequently
- Whether transformers and substations are safeguarded against trespassers and saboteurs
- Whether generators are properly maintained and checked
- Whether combustible materials are removed from the vicinity

b. Other miscellaneous questions to consider:

- Are replacement units for generators and transformers available and in safe storage?
- Are transformers of sufficient quantity and safely located and well protected?
- Are oil-filled transformers located in noncombustible, well-drained buildings, or outside?
- Are inspections made of the oil, contact, and control apparatus of circuit breakers and transformers?
- What is the system of power lines used?
- What is the number of independent power feeds?
- Is the pole line or underground line safe, reliable, and frequently checked?
- Are all power lines protected against lightning strikes?

- Are power distribution lines properly installed and supported?
- Are electric circuits overloaded at any time?
- Are current national or civil electric codes followed?
- Is there a single or multiple main switch(es) for emergencies?

D.K.2.9 Firefighting Equipment and Facilities

Describe the amount and condition of equipment and facilities:

a. Firefighting and first aid equipment available in the AAA

b. Type(s) of fire extinguisher(s) available. Are they located where needed?

c. Are extinguishers and other equipment in working order?

d. Are fire extinguishers sealed to prevent tampering?

e. Are periodic inspections made on extinguishers? Are they recorded?

f. Are first aid kits and fire extinguishers marked conspicuously and in reach of all persons?

g. Are there ample amounts of first aid equipment available?

h. Are first aid kits inspected regularly and safeguarded?

i. What type(s) of fire alarm system(s) is installed?

j. Is there a sufficient number of alarms and sensors in the system?

k. Is the system frequently inspected and tested?

l. Are vulnerable or important facilities equipped with sprinkler systems?

m. What type(s) of sprinkler system(s) is used? Is the system fed by public or private tanks and reservoirs?

n. How often and how thoroughly is the system tested and inspected, and where are the control valves?

o. Are fire hydrants in close proximity?

p. Are hydrants in working order?

q. Is water pressure sufficient for extinguishing flames in all locations of the AAA?

r. Is a secondary source of water available?

s. Is there a fire department located within the AAA? What equipment does it have?

t. Can public fire departments be used for augmentation of personnel or equipment?

u. What is the response time of the nearest public fire department?

v. Has a program of fire drills been initiated?

w. Is there a fire prevention program in place, and is it efficient?

x. What plans have been made for the action of all personnel in the event of fire?

D.K.2.10 Water Supply

Provide a description of water supply and security measures taken, including—

a. Sources of water supply used by the AAA

b. Whether sources of water are reasonably safe, adequately guarded and protected by physical security

c. If a public supply is used, what the diameter of the main line is

d. What the water pressure is. Is it adequate for both normal and emergency use?

e. If a private reservoir or tank is used, what its capacity, level, pressure and condition is

f. Whether it is adequate for the AAA's needs

g. The type(s) of pump(s) used in the water system

h. Whether water pumping stations are adequately protected, inspected, and tested

i. Whether all valves are properly secured

j. Whether a supplementary system is available. Where? Is it secure?

k. How often water is tested for purification. If water is chemically treated, by whom?

l. Whether non-potable water sources are appropriately marked

m. Whether the sewage system is adequate for AAA

n. Whether sewer mains, pumps, and disposal systems are adequate

o. Whether water or food can be contaminated by the sewage system

p. Whether there has been any outbreak of disease that can be traced back to the sewage system

q. Whether trucks are used to transport water

r. Who inspects water trucks and at what frequency

D.K.2.11 Food Supply

Describe security measures to protect the food supply:

a. From what source does the AAA receive food and food supplies? Are sources reliable?

b. Has food from local merchants been tested for cleanliness?

c. Have caterers who operate concessions on or near the AAA been checked for cleanliness?

d. Have local food handlers been checked for health, cleanliness, and loyalty? Passes must be issued.

e. Is entry to the kitchen and food storage areas restricted to authorized personnel only?

f. Are pantries and refrigerators locked when not in use?

g. Are kitchens and storage areas in a sanitary condition?

h. Is there any evidence of unsanitary conditions?

i. Are food and drink areas checked to prevent or detect toxicological or bacteriologic sabotage?

j. Has there been any epidemic or excess absenteeism traceable to food or water supplies?

D.K.2.12 Communications Facilities

Provide information regarding general service and special communication message centers:

a. Description

b. Where is the message center located?

c. Is the message center adequately protected by both barriers and guards?

d. Is someone continuously on duty at the message center

e. Have background/local checks been conducted on message handlers?

f. Are all encryption devices properly safeguarded and destroyed when obsolete?

g. Are logs kept of authorized couriers and message traffic distribution?

h. Are unauthorized personnel excluded from the message center?

i. Are classified messages handled in accordance with OPNAVINST 5510.1_?

j. Through what channels do classified messages pass?

k. Have couriers, messengers, and operators been checked? Do they have appropriate access?

D.K.2.13 Communications Equipment

Provide information on communications equipment, including:

a. What means of wire and wireless communication are used in the AAA?

b. Where are the central points of such communications networks located?

c. Are switchboards adequately guarded?

d. Have operators been checked and cleared?

e. Is auxiliary power available?

f. Is auxiliary or replacement equipment available?

g. Are open wires, terminal boxes, connecting boxes, cables, and manholes frequently inspected for indications of sabotage or wire tapping?

h. Are maintenance crews alerted to search for tapping?

i. Are civilian repairmen used? Are they checked and cleared?

j. Can sudden breaks in the system be taken care of efficiently?

k. Have personnel been cautioned concerning passing classified information over the air?

D.K.2.14 Security of Information

Determine where sensitive plans, blueprints, photos of classified material/equipment, or other information is kept. The following list is not all-inclusive and **does not replace** the OPNAVINST 5510.1_.

a. Is the above material centralized in a single facility or scattered through various buildings?

b. In what sections are classified material processed/stored and what level is authorized in each area?

c. Is all classified and valuable information kept in authorized/approved containers?

d. Are light safes and cabinets affixed to floors or chained to immovable objects?

e. Are container doors closed and locked when not in use?

f. Is there any protection other than the container itself?

g. What protection is given to combination of containers?

h. What security measures are enforced regarding keys to doors, gates or cabinets?

i. Is access limited to combinations and keys?

j. Who has access to combinations and keys? Have all personnel been cautioned regarding the passing of keys and combinations to unauthorized personnel?

k. Is a chain of custody required for all material secret and above? Can custodians identify the location of classified material at any time?

l. Are positions that require handling of classified material assigned to **only** those personnel with completed back-ground checks and appropriate access?

m. Are classified materials, blueprints, and reports returned and logged in as quickly as possible?

n. Who has access to classified material (with and without approved access)?

o. Is dissemination of classified material strictly limited to those with a need to know?

p. Is rank or position considered sufficient reason for access to classified material?

q. Is classified material left unattended on desks where theft can occur without detection?

r. Have civilian janitors been checked and placed under supervision?

s. How is classified waste disposed? Are records kept?

t. What policy has been established regarding releases/statements to local/national media?

u. Have personnel been cautioned about unauthorized statements and releases?

D.K.2.15 Identification System

All personnel within the AAA should be easily identified.

a. Identify the system used to allow authorized personnel access within the confines of the AAA or facility. If badges are used, determine the following:

- Who controls issuance?
- Are badges or ID cards tamperproof and difficult to reproduce?
- Is makeup and issue of the badges and ID cards controlled to prevent—
  - Reproduction
  - Theft
  - Unauthorized use or issue
  - Failure to return to issuing authority
- Are photographs used on the face of the cards or badges?
- Is a detailed description used to positively identify the holder?
- Are colored or coded systems used to identify the level of access?
- Are certain badges only valid in certain areas?
- Is enforcement of such identification tight?
- Do regulations prescribe and enforce that everyone wear badges at all times?
- Is admittance to the AAA/facility governed by the identification system?
- When badges are reported missing, lost, or stolen, what action is taken?

b. Is entrance permitted by the wearing of the military uniform? If so:

- What other means of identification are used?
- Are access rosters passed from one facility/command to another via secure means?
- Are passes and ID cards closely scrutinized?

c. What system is used to prevent persons working in one building, section, or unit from wandering into restricted areas without proper authorizations?

D.K.2.16 Visitor Controls

To control access to secured areas, determine the following:

a. Describe the system used to identify and admit authorized visitors to the AAA or facility

- How and by whom is the legitimacy and necessity of a visitor's mission established?
- Are regulations lax in the control of visitors?
- Are visitors escorted to a reception area from the gate or entrance?
- Is the identity of the visitor verified?
- How is adequate information obtained about visitors?
- How is the purpose of the visit obtained?
- Are visitors escorted or kept under surveillance during the time they are in the AAA?
- Are visitors required to provide identity upon departure?

b. Ensure the visitor's logbook contains the following information:

- Full name
- Social security number
- Rank
- Parent organization
- Date and time of entry
- Time of departure
- Number of badges issued and level of access
- Reason for visit
- Name of official authorizing entry or providing escort

c. Ensure that vehicle register includes:

- Date and time of entrance
- Registration/license number
- Name of owner(s)
- Signature of driver and passenger(s)
- Brief description of contents of vehicle
- Inspections conducted on vehicle

- Time of departure

d. Check all news media personnel:

- Are credentials examined and verified?
- Has their visit been checked with higher authority to verify authority?

e. Examine the orders and credentials of multinational military personnel (i.e. linguists):

- Are such visits verified by higher authority?
- Is security unduly sacrificed for courtesy?

f. Conduct spot checks of personnel within the AAA or facility

D.K.2.17 Description of Security System

When describing the security system—

a. Provide a description of the guard force:

- Number of personnel
- Shifts/reliefs
- Reserves/contingencies/reaction force availability
- Weapons
- Training
- Number and types of posts
- Communications

b. Check the following points:

- Organization of the force
- The number and strength of each shift or relief
- Number of supervisors for each shift
- Supervision of the guard force
- Number of fixed posts the force covers
- Location of each post
- Number of patrols covered by the force
- The route of each patrol

- Are the routes of the patrols varied?
- The time of the patrol
- Are doors and gates closely checked by the patrols?
- Functions performed by each patrol
- Does the supervisor make inspection tours of the routes?
- Frequency and thoroughness of the tours made
- Are inspections varied as to route and time?
- Are guard force alarm systems in use? Are they adequate?
- Type of communication and alarm system the guard force uses
- Is a record kept of all guard force activity?
- Does the guard force have communication with the military police?
- What armament does the guard force have?
- Are the weapons in serviceable condition?
- Are the weapons suitable for the mission?
- Are arms and ammunition adequately safeguarded when not in use?
- Is there a record of custody when weapons are issued during each shift?
- Does the storage of weapons and ammunition prevent rapid access by the guard force?

c. Guard recruitment policy:

- Physical, mental, age, and other qualifications required
- An investigation is conducted on prospective guards
- Are guards in uniform? What identification system is used? What credentials are required?
- Is the guard force respected by all personnel in the AAA?

d. Effectiveness of guard force training

- Time spent on training the guard force
- How is the training of the guard force conducted?
- Have guards been trained in the following areas:

  - Care of weapons and ammunition
  - Forms of espionage and sabotage activities

- Common types of bombs and explosives
- Familiarization with all vulnerable/restricted facilities in the AAA
- Location and character of all hazardous material sites
- Location of all important valves, switches, or circuit breakers
- Location of all fire protective equipment, including sprinkler valves
- Conditions which may cause fires
- Location of all first aid equipment
- Duties in the event of fire, blackouts, or other emergencies
- Use of communication systems
- Observation and description reporting procedures
- Preservation of evidence
- Patrol work
- Searches of persons and places
- Supervision of visitors
- General and special guard orders
- Location of all guard posts
- Do guards have keys to buildings, gates, and office spaces?
- Do guards check credentials for all who enter the AAA?

e. Is the strength of the guard force consistent with—

- The number of pedestrian, vehicle, and railroad gates?
- The approximate number of daily visitors?
- The number of loading platforms, storage facilities, and working areas?
- The number of vehicles to cover the entire AAA in a reasonable time?
- The number of restricted areas and vulnerable points?
- The number of plants or pumping stations?
- The number and extent of parking areas?
- Necessary supervision of the guard force?

- The need to accomodate for sickness, leave, and injury of guard personnel?
- Duties of the force in the event of security violations?

f. Is the guard headquarters—

- Conveniently located?
- Properly secured at all times, and does it contain the necessary equipment?
- Large enough for all members of the guard force?

D.K.2.18 Description of Security Conditions and Security Measures of Adjacent Areas

Describe the general nature of the population and the area surrounding the AAA:

a. Does the nationality or political nature of the populace offer a natural cover and aid to hostile agents and saboteurs?

b. Is the AAA within a commercial travel air zone?

c. If so, are minimum altitudes for aircraft published at all local airports?

d. Is the AAA isolated or screened from public view?

e. Are restricted areas screened or isolated from public scrutiny?

f. Is the AAA exposed to natural hazards such as floods, winds, forest fires, or electrical storms?

g. Is the AAA or buildings within the AAA well camouflaged against air and ground observation?

h. Have places of amusement near the AAA and persons frequenting those places been checked?

i. What nightclubs and areas are off-limits to personnel?

j. Has the surrounding area been scrutinized for any place likely to be used as bases for espionage or sabotage? Are there areas that could conceal antennas or audio and visual equipment?

D.K.2.19 Security of Arrival and Assembly Airfield

The security of an arrival and assembly airfield does not differ from that of any other assembly area in the operation. Aircraft and maintenance facilities are high priority targets of saboteurs and espionage agents. In general, checking the following major areas will assist in establishing the security afforded to the AAA:

a. Is the guard system adequate?

b. Are individual aircraft guarded sufficiently?

c. Are hangars and other vital buildings in a restricted area?

d. Have precautions been taken to ensure that there is no smoking in the area?

e. Are aircraft stored in hangars inspected against sabotage?

f. Are special precautions taken to ensure visitor control in hangars?

g. Are vital repair parts in storage areas protected from unauthorized personnel and fire?

h. Are there fire trucks, crash, and rescue vehicles available?

i. Is emergency equipment in a location which is able to serve the entire AAA?

D.K.2.20 Practical Use of Security Checklist

This checklist is not all-encompassing and should be used as a guide to initiate a survey. Several methods of organizing a security check may be used. The following methods, through usage, have been found to be practical and efficient:

a. Itemize on index cards or an automated data file, all requirements as listed on the checklist. Write the required information on each card/file as it is checked off the list.

b. Itemize basic subdivisions of the survey checklist requirements on separate pages with requirements listed in required order. Write the required information in the proper space as each item is checked off.

c. Itemize all requirements of the survey checklist separate pages, subdividing the pages according to the main subdivisions. Make detailed notes about each item as it is completed. After completing notes on all requirements for each item, assemble in order and write report.

D.K.2.21 Security Recommendations

Provide general remarks related to specific weaknesses and recommendations identified throughout the survey.