



U.S. ARMY RESERVE COMMAND

Security Inspection Checklist

[For use of this form see USARC Reg 380-5; the proponent agency is G-2/6.]



ACTIVITY: _____

DATE OF INSPECTION: _____

SECURITY MANAGER: _____

INSPECTOR: _____

ACCOMPANIED BY: _____

This checklist is to be used to evaluate and assess the effectiveness of implementation and management of the security program. Questions focus on compliance with DOD, DA, and FORSCOM security policies, and USARC guidance, when applicable. Any area of non-compliance, security weaknesses, and recommendations for improvement will be specifically identified.

SECTION I: PROGRAM MANAGEMENT

[All paragraph references pertain to AR 380-5, as supplemented, unless otherwise indicated.]

STANDARDS FOR PROGRAM MANAGEMENT:

- FULLY MET - Compliance with all major and minor items. Deficiencies which are corrected before the end of the inspection shall be accepted as being in compliance.
- PARTIALLY MET - No major deficiencies and compliance with at least 3 of the minor items.
- NOT MET - Any major deficiencies and/or compliance with less than 3 minor items.

KEY PERSONNEL (Rank, Name, Phone):

SIGNIFICANT POINTS DISCUSSED DURING THE OUTBRIEFING:

SECTION I: PROGRAM MANAGEMENT (continued)

COMPLIANCE			ITEM	REMARKS
YES	NO	N/A		
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1. MAJOR. (a) Has a properly cleared officer, warrant officer, non-commissioned officer (E7 or above) or qualified civilian (GS-7 or above) been formally appointed as primary and alternate Security Manager? (FORSCOM Suppl 1, para 13-304a 1 (a)) (b) If MSC, is the Security Manager a full-time employee?	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	2. MINOR. Is the Security Manager identified by signs posted throughout the facility? (USARC Reg 380-5, chap 2, para 2-7)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	3. MAJOR. Has the primary and alternate security manager received ARRTC Security Manager Course? (USARC Reg 380-5, chap 12, para 12-4)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	4. MAJOR. Has an agency SOP and/or supplements been published covering Information, Personnel, and Intelligence Oversight policies and procedures? (para 13-304a1(b) and AR 381-10)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	5. MINOR. Are the security files maintained IAW the Army Records Information Management System (ARIMS)? (AR 25-400-2)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	6. MINOR. Are procedures established to ensure proper handling, marking, storing and destruction of classified and FOUO/Privacy Act Information and magnetic media? (AR 25-55 and AR 340-21)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	7. MAJOR. Are security inspections and spot checks conducted, and the results maintained on file? (USARC Reg 380-5, chap 13, para. 13-1)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	8. MINOR. Do telephones, including facsimile machines, have DD Form 2056 on each instrument, where it can be easily seen? (AR 380-53, para 3-3b)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	9. MINOR. Are the following reference publications available? AR 25-55 AR 25-400-2 AR 340-21 AR 380-67 AR 381-10 (MI units only) AR 381-12 DA Pam 25-16 DA Pam-25-380-2 USARC Reg 380-1 USARC Reg 380-3 USARC Reg 380-4 USARC Reg 380-5	

SECTION II : PERSONNEL SECURITY PROGRAM

All paragraph references pertain to AR 380-67, as supplemented, unless otherwise indicated.

STANDARDS FOR PERSONNEL SECURITY PROGRAM:

- FULLY MET - Compliance with all major and minor items. Deficiencies which are corrected before the end of the inspection shall be accepted as being in compliance.
- PARTIALLY MET - No major deficiencies and compliance with at least 3 of the minor items.
- NOT MET - Any major deficiencies and/or compliance with less than 3 minor items.

SECTION II : PERSONNEL SECURITY PROGRAM (continued)

KEY PERSONNEL (Rank, Name, Phone):

SIGNIFICANT POINTS DISCUSSED DURING THE OUTBRIEFING:

COMPLIANCE			ITEM	REMARKS
YES	NO	N/A		
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1. MAJOR. Has the commander designated military and civilian positions requiring access to classified information? (USARC Reg 380-1, para 5)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	2. MAJOR. Has a Periodic Reinvestigation (PR) been requested on each person with access to Top Secret information whose investigation is five years old or older? (USARC Reg 380-1, para 10)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	3. MAJOR. Has a PR been requested on anyone with access to Secret information whose investigation is fifteen years or older? (USARC Reg 380-1, para 10)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	4. MAJOR. Is there a record (Access Roster) of the current clearance status of each employee who handles classified information? (USARC 380-1, para 14)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	5. MAJOR. Does the access roster have the name, SSN, date and type of investigation, and date clearance granted? (USARC Reg 380-1, para 14)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	6. MAJOR. Are security clearance requirements identified, and are investigations requested, for civilians in positions designated critical sensitive or non-critical sensitive (Position Sensitivity Roster)? (USARC Reg 380-1, para 6)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	7. MAJOR. Is there a valid computer-generated JPAS printout in each personnel record (except for interim clearance)? (USAR 380-1, para 8)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	8. MAJOR. Has an SF 312 been completed on all personnel who have access to classified information and submitted to the Security Manager for forwarding to the appropriate military or civilian personnel office for attention and annotated in JPAS? (USARC Reg 380-5, chap 6, para 6-3)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	9. MINOR. Is written instruction available showing that procedures are established for personnel security actions during mobilization implementation, i.e., mobilization plan, command instruction. (USARC Reg 380-1, para 13)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	10. MINOR. Is documentation available showing that an incident report have been submitted at least every 90 days or by the CCF required suspense date on derogatory information? USARC Reg 380-1, para 15)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	11. MINOR. Does the command maintain a suspense system on unfavorable administrative actions, Letter of Intent (LOI) and submitted JPAS incident report to ensure follow-up reports are submitted at 90 day intervals? (AR 380-67, chap 8)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	12. MAJOR. Are personnel security investigative reports containing derogatory information filed separate from other files? And are files placed in a locked container or safe? (AR 380-67, para 10-103c)	

SECTION II : PERSONNEL SECURITY PROGRAM (continued)

COMPLIANCE			ITEM	REMARKS
YES	NO	N/A		
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	13. MINOR. Is documentation available showing that unofficial foreign travel by cleared personnel is reported to the security manager? Have they received foreign travel briefings, if appropriate, and does the security manager maintain a record of that briefing? (AR 380-67, para 9-203)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	14. MINOR. Does the command maintain an adequate tracking system on interim clearances and pending investigations?	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	15. MINOR. Is there documentation available showing that interim security clearances are requested, approved/disapproved IAW mission requirements?	

SECTION III: INFORMATION SECURITY PROGRAM

[All paragraph references pertain to AR 380-5, as supplemented, unless otherwise indicated.]

STANDARDS FOR INFORMATION SECURITY PROGRAM:

- FULLY MET - Compliance with all major and minor items. Deficiencies which are corrected before the end of the inspection shall be accepted as being in compliance.
- PARTIALLY MET - No major deficiencies and compliance with at least 7 of the minor items.
- NOT MET - Any major deficiencies and/or compliance with less than 7 minor items.

KEY PERSONNEL (Rank, Name, Phone):

NUMBER OF SECURITY CONTAINERS: _____

SIGNIFICANT POINTS DISCUSSED DURING THE OUTBRIEFING:

SECTION III: INFORMATION SECURITY PROGRAM (continued)

COMPLIANCE			ITEM	REMARKS
YES	NO	N/A		
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1. MINOR. Are OPEN/CLOSED signs used to indicate the status of security containers? (para 5-202b)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	2. MAJOR. Does each activity which stores or processes classified information maintain, and complete daily, an SF 701 (Activity Security Checklist)? (USARC Reg 380-5, chap 7, 7-8)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	3. MINOR. Is SF 702 (Security Container Check Sheet) completed each work day? (USARC Reg 380-5, chap 7, 7-8)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	4. MAJOR. Is SF 700 (Security Container Information) properly filled out, classified, and safeguarded? (USARC Reg 380-5, chap 7, 7-5)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	5. MINOR. Are Emergency Removal and Destruction Plans posted near each container? (para 5-203a)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	6. MINOR. Are containers free of external markings indicating the level of classified material stored inside? Is priority number positioned on the interior ledge of each drawer? (USARC Reg 380-5, chap 7, 7-5)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	7. MAJOR. Are security container combinations changed at least annually, or as otherwise required? (USARC Reg 380-5, chap 7, 7-5)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	8. MINOR. Does the activity ensure that unauthorized items are NOT stored in security containers with classified materials? (para 5-100)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	9. MINOR. Have combinations of out-of- service containers been set to 50-25-50? (USARC Reg 380-5, chap 7, 7-5))	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	10. MINOR. Are classified documents marked with classification authority and downgrading instructions IAW E.O. 12958? (USAR 380-5, chap 5, 5-9)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	11. MAJOR. Are documents marked with the overall classification, based on content? (USARC Reg 380-5, chap 5, 5-6)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	12. MAJOR. Are the first page and front and back covers of all documents, including com puter produced documents, conspicuously marked with the overall classification of the document? USARC Reg 380-5, chap 5, 5-5)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	13. MINOR. Is each section, part, paragraph, or similar portion of each classified document marked with the level of classified information in the portion? (USARC Reg 380-5, chap 5, 5-4)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	14. MINOR. Are file folders marked with the highest classification of information within them? (AR 380-5, chap 4, sec1)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	15. MINOR. Has the documents custodian downgraded or declassified documents in accordance with the markings on those documents and IAW E.O. 12958? (AR 380-5, chap 4, sec1)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	16. MAJOR. Are all working papers identified as such, and are they brought under control within 90 days of origin? (USARC Reg 380-5, chap 5, 5-10)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	17. MINOR. Are classified holdings reviewed annually and unneeded material destroyed? (USARC Reg 380-5, chap 8, 8-2)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	18. MAJOR. Are Class I shredders (1/32" strips with 1 /2" crosscut and 1 /65" tolerance) used to destroy classified documents? (USARC Reg 380-5, chap 8, 8-2)	

SECTION III: INFORMATION SECURITY PROGRAM (continued)

COMPLIANCE			ITEM	REMARKS
YES	NO	N/A		
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	19. MAJOR. Has an official been designated to approve reproduction of classified material? Is reproduction of classified material done only on equipment specifically authorized and labeled for this purpose? (USARC Reg 380-5, chap 5, 8-1)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	20. MAJOR. Are incoming mail and shipments screened by cleared personnel to ensure that they do not contain classified materials, and is accountable mail handled and secured IAW postal regulations? (para 7-303)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	21. MINOR. Is a termination briefing conducted and a DA Form 2962 or the SF 312 debriefing section completed when personnel terminate employment or are absent from duty for 60 days or more, or when a clearance is withdrawn? (para 10-105)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	22. MAJOR. Has a Top Secret Control Officer (TSCO) been appointed in writing? Does the TSCO have the appropriate security clearance? (AR 380-5, chap 6, sec 3)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	23. MAJOR. Is a continuous receipt system in effect for the control of Top Secret documents, using DA Form 3964? (AR 380-5, chap 6, sec 3)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	24. MAJOR. Has the TSCO conducted the required annual inventory of accountable material? (AR 380-5, chap 6, sec 3)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	25. MAJOR. Upon change of TSCO, is a joint inventory conducted and a transfer certificate executed? (AR 380-5, chap 6, sec 3)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	26. MAJOR. Do destruction documents of Top Secret and accountable Secret material reflect date, identity and signatures of Custodian or TSCO and properly cleared disinterested witness? (AR 380-5, chap 6, sec 3)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	27. MINOR. Is DD Form 2501, Courier Authorization Card, issued to persons with a need to carry classified materials within local area? (USARC Reg 380-5, chap 9, 9-3)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	28. MAJOR. Are courier orders issued in all cases when classified material is carried outside local (50 mile radius) area? (USARC Reg 380-5, chap 9, 9-4) para 5-302, 8-300 - 8-303)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	29. MAJOR. Does the command have an effective training and security awareness program; i.e. initial and periodic refresher briefings. Is a record of this training maintained using USARC Form 60-R? (USARC Reg 380-5, chap 12, 12-2)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	30. MINOR. Are biennial SAEDA briefings conducted and documented? (AR 380-5, chap 9, sec 3)	

SECTION IV: INTELLIGENCE OVERSIGHT PROGRAM

All paragraph references pertain to AR 381-10, as supplemented, unless otherwise indicated. Army Reg 381-10 applies only to Army intelligence components, other DA military personnel or civilian employees engaging in intelligence activities, and members of the Army Reserve when performing Federal duties or engaging in activities directly related to a Federal duty or mission.

STANDARDS FOR INTELLIGENCE OVERSIGHT PROGRAM:

- FULLY MET - Compliance with all major and minor items. Deficiencies which are corrected before the end of the inspection shall be accepted as being in compliance.
- PARTIALLY MET - No major deficiencies and compliance with at least 3 of the minor items.
- NOT MET - Any major deficiencies and/or compliance with less than 3 minor items.

KEY PERSONNEL (Rank, Name, Phone):

SIGNIFICANT POINTS DISCUSSED DURING THE OUTBRIEFING:

COMPLIANCE			ITEM	REMARKS
YES	NO	N/A		
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1. MAJOR. Does the unit have an intelligence oversight training program? Has training been conducted? (AR 381-10, Procedure 14)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	2. MAJOR. Does the unit maintain a policy book which includes a copy of AR 381-10 and other training materials? (AR 381-10, app B)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	3. MAJOR. Are intelligence files reviewed annually per paragraph 3-3, AR 381-10?	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	4. MINOR. Is documentation available showing that all employees are knowledgeable of their reporting responsibilities under the provisions of AR 381-10? (Procedure 14)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	5. MINOR. Is there documentation available showing that procedures have been established for the reporting of questionable activities? (AR 381-10, Procedure 15)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	6. MINOR. Does the unit security manager understand and can explain what constitutes "questionable activity"? (AR 381-10, Procedure 15)	

SECTION IV: INTELLIGENCE OVERSIGHT PROGRAM

(continued)

COMPLIANCE			ITEM	REMARKS
YES	NO	N/A		
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	7. MINOR. Does the security manager know and can explain what action should be taken concerning questionable activity? (AR 381-10, Procedure 15)	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	8. MINOR. Is intelligence oversight included in inspections of subordinate intelligence units or of persons engaged in intelligence activities? (AR 381-10, app B)	

PERSON(S) OUTBRIEFED (Rank, Name, Title):**SECTION I - PROGRAM MANAGEMENT: (Check one)**

- Fully Met (Compliance with all major and minor items)
 Partially Met (Compliance with all major items and at least 3 minor items)
 Not Met (Any major deficiency and/or compliance with less than 3 minor items)

SECTION II - PERSONNEL SECURITY PROGRAM: (Check one)

- Fully Met (Compliance with all major and minor items)
 Partially Met (No major deficiencies and compliance with at least 3 minor items)
 Not Met (Any major deficiency and/or compliance with less than 3 minor items)

SECTION III - INFORMATION SECURITY PROGRAM: (Check one)

- Fully Met (Compliance with all major and minor items)
 Partially Met (No major deficiencies and compliance with at least 7 minor items)
 Not Met (Any major deficiency and/or compliance with less than 7 minor items)

SECTION IV - INTELLIGENCE OVERSIGHT PROGRAM: (Check one)

- Fully Met (Compliance with all major and minor items)
 Partially Met (No major deficiencies and compliance with at least 3 minor items)
 Not Met (Any major deficiency and/or compliance with less than 3 minor items)

OVERALL RATING: (Check one) Fully Met Partially Met Not Met

(To receive an overall Rating of Fully Met all programs must be Fully Met. An overall rating of Partially Met is to be given for anything less than Fully Met, but cannot be given if any programs are Not Met. An overall rating of Not Met will be given if any program is Not Met.)

COMMENTS: