

**SECTION 02.07 – INTELLIGENCE OVERSIGHT CHECKLIST**  
**COMMAND INSPECTION CHECKLIST (BN/BDE/DIV)**

UNIT DESIGNATION AND LOCATION \_\_\_\_\_

INSPECTION TEAM CHIEF \_\_\_\_\_ DATE \_\_\_\_\_

**C020700 – Intelligence Oversight**

References: EO 12333, DoDD 5240.01 w/ Ch1, DoDM 5240.01, DoD 5240.1-R w/ Ch1, DoDI 5200.27, CNGBI 2000.01B, CNGBM 2000.01, CNGBI 0700.01, DTM 08-052 w/ Ch7, DoD Guidance For Reporting QIA and S/HS Matters, NGR 20-10, ANGI 14-101, AR 381-10, Army Implementation Guidance for Intelligence Oversight Memorandum, AFI 14-104, Air Force Guidance Memorandum to AFI 14-104, and AFI 90-201

<b>Unit (Major Subordinate Command, Battalion, Air Wing)</b>				
<b>Administrative</b>		<b>GO</b>	<b>NO-GO</b>	<b>N/A</b>
H020701 (ARNG & ANG)	Has the Commander established and maintained an effective IO program for all personnel assigned or attached to the organization? (CNGBI 2000.01B, Encl A, 14c)			
H020702 (ARNG & ANG)	Has the commander ensured MI personnel and non-MI personnel conducting intelligence activities are fully aware of and comply with their individual responsibilities? (AR 381-10, 1-4p(2); AFI 14-104, 2.9; CNGBI 0700.01, Encl A, 1a)			
H020703 (ARNG & ANG)	Has the Commander appointed, in writing, experienced intelligence professionals to serve as primary and alternate IO Monitors who hold the appropriate security clearances and accesses and who have complete access to all information necessary to carry out responsibilities and has the appointment letter been posted in the general work area? (AR 381-10, 1-4p(4); AFI 14-104, 2.9; CNGBI 2000.01B, Encl A, 14d; CNGBI 0700.01, Encl A, 1a and 1f(1); KSNG SOP 381-10, App J – IO Checklist)			
H020704 (ARNG & ANG)	<p>Has the IO Monitor maintained an IO Continuity Book, electronic and/or hard copy, containing, at a minimum, copies of: applicable regulations and instructions; Standard Operating Procedures (SOP); training materials and documentation; IO Monitor appointment letters; records of IO SAVs and inspections; annual file review certification; self-inspection reports; and Memoranda for Record (MFR)?</p> <ul style="list-style-type: none"> <li>_ Appointment letters for Primary and Alternate IO monitors</li> <li>_ Unit IO SOP or Memorandum Identifying KSNG SOP as Primary SOP</li> <li>_ IO monitor duties and responsibilities</li> <li>_ Unit IO training</li> <li>_ IO training records (initial, annual, and pre-deployment)</li> <li>_ Unit-oriented IO checklist</li> <li>_ Self-inspection and inspection records</li> <li>_ QIA process and report format (KSNG SOP)</li> <li>_ Copies of any QIA reports</li> <li>_ Annual file review certification MFR</li> <li>_ Roster of personnel assigned to the intelligence section and personnel with an intelligence MOS/AFSC</li> </ul> <p><b>Copies of the following IO Reference Documents:</b></p> <ul style="list-style-type: none"> <li>_ EO 12333 United States Intelligence Activities with Amendments EO 13355 and EO 13470</li> <li>_ DoDI 5200.27 Acquisition of Information Concerning Persons and Organizations not Affiliated with the Department of Defense</li> <li>_ DoDD 5148.11 ATSD for Intelligence Oversight 24 Apr 13</li> <li>_ DoDD 5240.01, Change 1, DoD Intelligence Activities, 27 Aug 2014</li> <li>_ DoDM 5240.01 Procedures Governing the Conduct of DoD Intelligence Activities, 8 Aug 2016</li> </ul>			

<p>H020704 Cont. (ARNG &amp; ANG)</p>	<ul style="list-style-type: none"> <li>- DoD 5240.1-R, Change 1, Procedures Governing the Activities of DoD Intelligence Components That Affect US Persons, 8 Aug 2016</li> <li>- CNGBI 2000.01B National Guard Intelligence Activities, 4 Apr 2017</li> <li>- CNGBM 2000.01 National Guard Intelligence Activities, 26 Nov 2012</li> <li>- CNGBI 0700.01 Inspector General Intelligence Oversight, 9 Jun 2013</li> <li>- NGR 20-10/ANGI 14-101 NG Inspector General Intelligence Oversight Procedures, 5 Nov 14</li> <li>- ODSO DTM 08-052, Change 7, DoD Guidance For Reporting QIA and S/HS Matters, 23 Aug 2016</li> <li>- AFI 14-104, Oversight of Intelligence Activities, with Implementation Guidance 29 Sep 2016 (Joint Staffs and ANG units only)</li> <li>- AFI 90-201, The Air Force Inspection System, 26 Jan 2017 (Joint Staffs and ANG units only)</li> <li>- Army Implementation Guidance for Intelligence Oversight Memorandum, 15 Aug 2016</li> <li>- AR 1-201, Army Inspection Policy 25 Feb 2015 (Joint Staffs and ARNG units only)</li> <li>- AR 381-10 US Army Intelligence Activities, 3 May 2007 (Joint Staffs and ARNG units only)</li> <li>- KSNIG Intelligence Oversight SOP, 9 Dec 2016</li> <li>- KSNIG OIP 2017 Version I, 1 Oct 2016 (Checklist – Applicable to KSARNG and KSANG)</li> <li>- NGB Guide to Handling Information on US Persons While Operating Within the US</li> <li>- NGB-J2 White Paper: Role of National Guard Intelligence During Civil Disturbances</li> </ul> <p>(CNGBI 2000.01B, Encl A, 15d; CNGBM 2000.01, Encl N; CNGBI 0700.01, Encl A, 1f(2); KSNIG SOP 381-10, App C; AFI 14-104, 2.10)</p>			
<p>H020705 (ARNG &amp; ANG)</p>	<p>Has the IO Monitor ensured the State IO policy and applicable references are maintained and available to the organization in hard copy and/or electronic format? (CNGBI 2000.01B, Encl A, 15e)</p>			
<p>H020706 (ARNG &amp; ANG)</p>	<p>Have commanders of units with military intelligence missions implemented a review process to ensure U.S. person information was collected and retained in accordance with this regulation before transferring files to the Investigative Records Repository or information into intelligence databases? (AR 381-10, 1-4p(5))</p>			
<p>H020707</p>	<p>Have commanders of units with military intelligence missions implemented a review process to ensure U.S. person information incorporated into intelligence databases is maintained in accordance with ARIMS? (AR 381-10, 1-4p(6))</p>			
<p>H020708 (ARNG &amp; ANG)</p>	<p>Has the IO Monitor reviewed all intelligence files, electronic and paper, at a minimum of once per calendar year to ensure any USPERs information was retained IAW Procedure 4 of DoDM 5240.01 and certified that all files have been reviewed through MFR, which is maintained on file in the IO Continuity Book? (AR 381-10, 3-3c; CNGBI 2000.01B, Encl A, 15h; CNGBI 0700.01, Encl A, 1f(7))</p>			
<p>H020709 (ARNG &amp; ANG)</p>	<p>Have quarterly reports been submitted through the chain of command to the State IG and State IO Monitor? (CNGBI 0700.01, Encl A, 1a; AFI 14-104, 5.3; CNGBI 2000.01B, Encl A, 15j; KSNIG SOP 381-10, 2-8)</p>			

H020710 (ARNG & ANG)	Do quarterly IO reports minimally include the following utilizing the quarterly format in KSNG SOP App I? (a) A description of significant oversight activities undertaken during the quarter. (b) Identification of unlawful or improper activities discovered or reported. (c) Suggestions for improvement of the oversight system. (AR 381-10, 15-6d(3); AFI 14-104, 5.3; KSNG SOP 381-10, App I)			
H020711 (ARNG & ANG)	Have employees, supervisors, IO monitors, and/or Commander reported questionable intelligence activity (QIA) that may violate guiding laws or policies through command or inspector general channels to JFHQ-KS IG and JFHQ-KS JA immediately upon discovery? (AR 381-10, 15-2a; AFI 14-104, 2.7.7; CNGBM 2000.01, Encl A, 15c(2); KSNG SOP 381-10, 2-7)			
<b>Training</b>		<b>GO</b>	<b>NO-GO</b>	<b>N/A</b>
H020712 (ARNG & ANG)	Is IO training (initial and annual refresher) included in the unit commander's Yearly Training Guidance? (CNGBI 0700.01, Encl A, 1a)			
H020713 (ARNG & ANG)	Is IO training scheduled on the yearly training schedule and the unit training schedule and documented using the IO training register? (KSNG SOP 381-10, 2-2c)			
H020714 (ARNG & ANG)	Has the Commander received IO training? (CNGBI 2000.01B, Encl A, 14a; AFI 14-104, 2.9.8 and 3.2)			
H020715 (ARNG & ANG)	Have intelligence personnel completed the organization's IO training within 90 days of assignment/ employment, as well as annual refresher training and pre-deployment training? (Initial Training within 60 days and NLT 180 days for AFRC/ANG units IAW AFI 14-104 para 3.3) (CNGBM 2000.01 Encl C, 1b(1); CNGBI 2000.01B, Encl A, 16d; CNGBI 0700.01, Encl A, 1a and 1f(3); AFI 14-104, 3.3, KSNG SOP 381-10, 2-2a)			
H020716 (ARNG & ANG)	Have all T-32 personnel with a core intelligence Military Occupational Specialty (MOS) or Air Force Specialty Code (AFSC) regardless of unit mission, duty title, or assignment received IO training? (CNGBM 2000.01 Encl C, 1a(3); KSNG SOP 381-10, App B and App J)			
H020717 (ARNG & ANG)	Has the IO monitor coordinated with the IG and JA to provide additional training on IO, or other matters affecting intelligence support keyed to organizational missions and responsibilities, specifically Procedures 1 through 4 and 12, 14, and 15? (CNGBM 2000.01 Encl C, 2(a); KSNG SOP 381-10, App J)			
H020718 (ARNG & ANG)	Has the IO Monitor conducted IO training and maintained records of this training for three calendar years, to include the dates personnel received training? (CNGBM 2000.01, Encl C, 3)			
H020719 (ARNG & ANG)	Has the IO monitor provided all personnel refresher IO training at least once every calendar year? (CNGBM 2000.01 Encl C, 1b(2); CNGBI 0700.01, Encl A, 1f(4); KSNG SOP 381-10, App J)			
H020720 (ARNG & ANG)	Have annual refresher training records been maintained for a period of five years? (CNGBI 0700.01, Encl A, 1f(5); CNGBI 2000.01B, Encl A, 15c; KSNG SOP 381-10, 2-2b)			
H020721 (ARNG & ANG)	Has the Commander ensured all personnel assigned or attached to the organization conducting intelligence or intelligence-related activities received required IO training, and know IO statutory and regulatory guidance, to include reporting responsibilities and all restrictions? (AR 381-10, 1-4p(3); AFI 14-104, 2.9.7; CNGBI 2000.01B, Encl A, 14e; KSNG SOP 381-10, App J)			
H020722 (ARNG & ANG)	Has the IO Monitor implemented an IO program to educate and train intelligence personnel on applicable IO regulations and directives, as well as individual reporting responsibilities? (CNGBI 2000.01B, Encl A, 15b; AFI 14-104, 2.10.4)			
H020723 (ARNG & ANG)	Do the intelligence personnel know the authorized mission of their organization to which assigned? (AFI 14-104, 2.11.1; CNGBI 2000.01B, Encl A, 16a)			

H020724 (ARNG & ANG)	Can intelligence personnel identify the organization's IO Monitor and know how to establish contact? (AFI 14-104, 2.11.2; CNGBI 2000.01B, Encl A,16f; CNGBI 0700.01, Encl A,1a)			
H020725 (ARNG & ANG)	Has the IO Monitor tested personnel to confirm that they can identify, at a minimum, the regulations and instructions governing reporting procedures on QIA and the identity of the IO Monitors? (CNGBI 2000.01B, Encl A, 15b)			
H020726 (ARNG & ANG)	Can intelligence personnel identify the contents of Procedures 1-4, 12, 14, and 15 of DoDM 5240.01, and any other procedures applicable to the assigned unit's mission/discipline? (CNGBI 2000.01B, Encl A, 16b; AFI 14-104, 2.11.3; KSNB SOP 381-10, 2-2 a and b)			
<b>Inspections</b>		<b>GO</b>	<b>NO-GO</b>	<b>N/A</b>
H020727 (ARNG & ANG)	Has the IO Monitor performed a self-inspection in the final quarter of the calendar year, if the organization was not evaluated that year by an IG from one of the following organizations: the Assistant to the Secretary of Defense, Intelligence Oversight; Major Command (Army) or MAJCOM (AF); or NGB? (CNGBI 2000.01B, Encl A,15f; CNGBM 2000.01, Encl O, 5; AFI 14-104, 2.10.5 and 6.2; KSNB SOP 381-10, 2-8c)			
H020728 (ARNG & ANG)	Have copies of self-inspection results been maintained in the IO Continuity Binder? (CNGBM 2000.01, Encl O, 5; KSNB SOP, 2-8c)			
H020729	Does the Organizational Inspection Program (OIP) include intelligence oversight inspections? (AR 1-201, 3-2a; KSNB SOP 381-10, 2-3a; KSARNG OIP 2017 Version I 1OCT16)			
<b>JFHQ-KS-J2</b>				
<b>Administrative</b>		<b>GO</b>	<b>NO-GO</b>	<b>N/A</b>
H020730	Has The Adjutant General (TAG) appointed in writing intelligence professionals to be the State intelligence oversight primary and alternate staff officers, and ensure that all intelligence components within the State have an intelligence oversight primary and alternate staff officer? (AR 381-10, 1-4n(2); KSNB SOP 381-10, 2-1a)			
H020731	Has the JFHQ-KS generated a P12 Memo and sought approval through NGB-J2 before the execution of a mission? (CNGBM 2000.01, Encl A, 12 e(3)f)			
H020732	Were Proper Use Memoranda (PUMs) written on the organization letterhead and signed by the organization certifying official, a field grade officer or civilian equivalent? (CNGBM 2000.01, Encl E, 6a(1) and b; KSNB SOP, 2-5 c, d and Ann J)			
H020733	Has JFHQ-KS submitted PUMs to NGB-J2 (T-32) or the gaining COCOM, MACOM, or MAJCOM (T-10) before airborne platforms were tasked to collect domestic imagery? (CNGBM 2000.01, Encl E, 3 or 6a(2))			
H020734	Has imagery collected through Remotely Piloted Vehicles (RPVs)/ Unmanned Aircraft Systems (UASs)/ Unmanned Aerial Vehicles (UAVs) been stored without using references to a U.S. person's identifiers and is not retrievable by reference to a U.S. person's identifiers? (CNGBM 2000.01, Encl E, 5a)			
H020735	Has the JFHQ-KS Judge Advocate (JA) reviewed intelligence plans, proposals, and concepts, to include PUMs, for legality and propriety? (CNGBI 2000.01B, Encl A 13e, 13f, and 18c; CNGBM 2000.01, Encl E, 6a(2); KSNB SOP, Ann J)			
H020736	After the conclusion of security operations in support of a Law Enforcement missions, has all non-DoD-affiliated persons' information been purged, destroyed, or provided to the appropriate agency? (CNGBM 2000.01, Encl K, 1g)			

H020737	Do Security, Force Protection (FP), or Law Enforcement (LE) personnel, and not intelligence personnel, lead "information fusion cell" or "threat working group" meetings? (CNGBM 2000.01, Encl K, 1e)			
H020738	Has the PAO consulted with the CD coordinator to determine whether news releases would pose OPSEC issues? (CNGBM 2000.01, Encl E, 10d(1))			
H020739	Has the JFHQ-KS IG submitted quarterly reports to NGB-IO by the 5 <sup>th</sup> day of the month following the end of the quarter? (CNGBI 0700.01, 6b(7)(b))			
<b>Training</b>		<b>GO</b>	<b>NO-GO</b>	<b>N/A</b>
H020740	Has the JFHQ-KS J2 provided a standard intelligence oversight training brief to each unit and intelligence activity? (KSNG SOP 381-10, Ann J)			
H020741	Has the JFHQ-KS J2 ensured all personnel assigned or attached to JFHQ-KS J2 received required IO training, and know IO statutory and regulatory guidance, to include reporting responsibilities and all restrictions? (CNGBI 2000.01B, Encl A, 11f)			
H020742	Has the JFHQ-KS JA trained members of organizations engaged in intelligence and intelligence-related activities on all laws, policies, treaties, and agreements that apply to their activities, as required? (CNGBI 2000.01B, Encl A, 13g)			
H020743	Have TAG, director J2, IGs, and JAs received IO Training? (CNGBM 2000.01, Encl C, 1a(7))			
H020744	Have all T-32 military and civilian personnel (NGB, T-32 NG JFHQ-S, and T-32 NG intelligence units and staff organizations, and T-32 non-intelligence organizations) assigned or attached to JFHQ-KS on a permanent or temporary basis, regardless of military specialty or job function, conducting intelligence or intelligence-related activities received IO training? (CNGBM 2000.01, Encl C, 1a(2))			
H020745	Have all T-32 personnel with a core intelligence Military Occupational Specialty (MOS) or Air Force Specialty Code (AFSC) regardless of duty title or assignment assigned to JFHQ-KS received IO training? (CNGBM 2000.01, Encl C, 1a(3))			
H020746	Have all contractors or consultants assigned or attached to JFHQ-KS, if they are involved in T-32 activities subject to the procedures of DoDM 5240.01-R, received IO training? (CNGBM 2000.01, Encl C, 1a(4))			
<b>Inspections</b>		<b>GO</b>	<b>NO-GO</b>	<b>N/A</b>
H020747	Does the Organizational Inspection Program (OIP) include intelligence oversight inspections? (AR 1-201, 3-2a; KSNG SOP 381-10, 2-3a; KSARNG OIP 2017 Version I 1OCT16)			
H020748	Has the JFHQ-KS IG conducted intelligence oversight inspections of intelligence activities and components within the command as part of the Organizational Inspection Program (OIP) in accordance with (AR 20-1, 5-3 a; KSNG SOP 381-10, 2-3b)			
H020749	Have intelligence oversight inspections been accomplished as required? (AR 20-1, 5-3a; AFI 14-104, 4.2; CNGBI 0700.01, 6b(1))			
H020750	Has the JFHQ-KS IG inspected all assigned intelligence components a minimum of once every 2 years? (AR 20-1, 5-3a; CNGBI 0700.01, 6b(1); KSNG SOP 381-10, Ann J)			
H020751	Has the JFHQ-KS IG periodically tested personnel within an intelligence organization to confirm whether they can identify regulations governing reporting procedures on QIA and the identity of the IO Officer? (CNGBI 0700.01, Encl A, 1c and d; KSNG SOP 381-10, Ann J)			
H020752	Has the JFHQ-KS IG forwarded copies of IO related findings/ inspection reports to the NGB-IG office? (CNGBI 0700.01, Encl B, 6b(7)(b)(8))			

<i>Questionable Intelligence Activities (QIA)</i>		GO	NO-GO	N/A
H020753	Have reports of questionable intelligence activities (QIA) of a serious nature and all Significant/ Highly Sensitive (S/HS) matters been forwarded to the NGB-IG, NGB-JA, or office of the Assistant to the Secretary of Defense for Intelligence Oversight (ATSD (IO))? (AR 381-10, 1-4n(4); CNGBM 2000.01, Encl A, 15c(2); KSNG SOP 381-10, 2-7b)			
H020754	Has the JFHQ-KS IG reported any QIA to DAIG's Intelligence Oversight Division (SAIG-IO) in accordance with procedure 15, AR 381-10? (AR 20-1, 1-4b(10); AR 381-10, 15-2 a)			
H020755	Has the JFHQ-KS IG Reported to TIG through DAIG's Intelligence Oversight Division (office symbol SAIG-IO) within 2 working days by secure means any inspector general action request (IGAR) containing an allegation against any person assigned to a Special Access Program (SAP) or sensitive activity as defined in AR 380-381? (AR 20-1, 1-4b5(e))			
<b>INTELLIGENCE OVERSIGHT Totals:</b>				

**COMMENTS:**