

Order Number 918A

Counterintelligence and Arms Control

The United States has signed and ratified a number of arms control treaties designed to enhance international security and stability. Instrumental to the success of these agreements is that all States Parties accept the respective treaty's compliance verification regimes. These regimes may require States Parties to prepare and submit data declarations and to accept on-site inspections and observation flights.

Compliance Verification

While these activities are necessary to allow a foreign inspection team and an international treaty implementation organization to gather the information they need to make decisions about a State Party's level of compliance, they also present a unique opportunity for collecting national security, proprietary, and other sensitive information. Facility personnel should assume that any information an inspector can see, hear, touch, or sense, could be targeted for intelligence collection. Indeed, arms control inspection activities could allow commercial competitors and political adversaries to have an opportunity to collect or verify sensitive technologies and confidential manufacturing processes.

Inspection team members from international organizations are bound by confidentiality agreements. However, all members of an inspection team are official observers and evaluators of information. Although they may not engage in direct political, military, industrial, or economic intelligence collection, the United States has learned that such collection can occur, especially if sensitive information and processes are not properly protected during on-site inspections.

The challenge for facility personnel is to demonstrate compliance with U.S. treaty



obligations, while also protecting national security, proprietary, and other sensitive information. To protect this information in a cost-effective manner, the nature of the threat must be known and the level of risk must be properly assessed. This is the role of an effective counterintelligence program.

Counterintelligence

Counterintelligence consists of the information gathered and activities conducted to protect against espionage and other intelligence activities conducted by, or on the behalf of, foreign powers, organizations, or persons. Counterintelligence programs are an integral part of effective arms control security planning. Counterintelligence programs help to identify potential threats by answering the following questions:

- Who is likely to try to collect sensitive information?
- What information is likely to be targeted?
- Which method(s) could be used to collect it?

With this information about potential threats, counterintelligence representatives can help facility managers identify vulnerabilities and recommend a number of appropriate security countermeasures. In the context of arms control compliance verification activities, effective counterintelligence helps facility

security managers develop and apply defensive measures to combat potential collection threats during on-site inspections.



Several types of counterintelligence programs can help facility security managers in this effort. For example:

- **Awareness briefings** are useful for alerting key personnel to the potential risks presented by on-site inspection teams.
- **Risk assessments** provide a systematic analysis of a facility's activities in order to determine each activity's level of vulnerability to the threat posed by potential inspectors. Risk assessments identify the following factors:
 - Inspectors' nationalities and interests
 - Collection methods at the inspectors' disposal
 - Likely targets
 - Vulnerability of each target to available collection methods

When vulnerabilities are significant and the level of risk is unacceptable, appropriate security countermeasures can be developed.

The goal is to recommend and implement cost-effective countermeasures that are specifically tailored to adequately protect a facility's sensitive information and processes.

- **Mock inspection exercises** can be useful for evaluating the effectiveness of a facility's security measures and for refining security procedures. Utilizing the expected collection methods, counterintelligence personnel can test a facility's security measures to help determine the extent of the risk the collection threat poses to a facility's sensitive information and processes. For example, a mock inspection could help facility managers determine whether it is necessary to relocate or shroud sensitive items, or whether sensitive activities should be curtailed when the inspectors are present.



Arms control inspection activities pose a unique challenge to facility security. Counterintelligence activities, combined with traditional security programs, provide a proactive approach to operational security and help safeguard operations from potential exploitation.

To obtain additional information about counterintelligence, risk assessments, and the application of appropriate security countermeasures, contact the DTIRP Outreach Program Coordinator at 1-800-419-2899 or by email at: dtirpoutreach@dtra.mil, your local Defense Security Service (DSS) Industrial Security Representative, or your government sponsor.