



# Conducting an Effective Self-Inspection

DEFENSE COUNTERINTELLIGENCE AND SECURITY AGENCY





# Welcome

Stephen M. Raymond  
CDSE Industrial Security Team  
Course Manager/Instructor



Elizabeth Bolin  
CDSE Personnel Security Team  
Course Manager/Instructor



Enlarge Screen



Q & A

Closed  
Captioning  
below

File Share



# Agenda

- Self-inspection Requirements
- Self-inspection Process
  - ✓ Pre-inspection
  - ✓ Inspection
  - ✓ Post-inspection
- Senior Management Official (SMO) Responsibilities
- Q&A





# Learning Goals

**At the end of today's session, you should be able to:**

- Explain the purpose of self-inspections.
- Identify self-inspection requirements.
- Describe the three-part self-inspection process.







## What's the Purpose?

### Validate Security Practices and Procedures

- Meet National Industrial Security Program (NISP) requirements
- Implemented effectively
- Protect national security

### Mitigate Risk

- Identify weaknesses
- Clarify threats and vulnerabilities
- Determine needed countermeasures





# Self-inspections

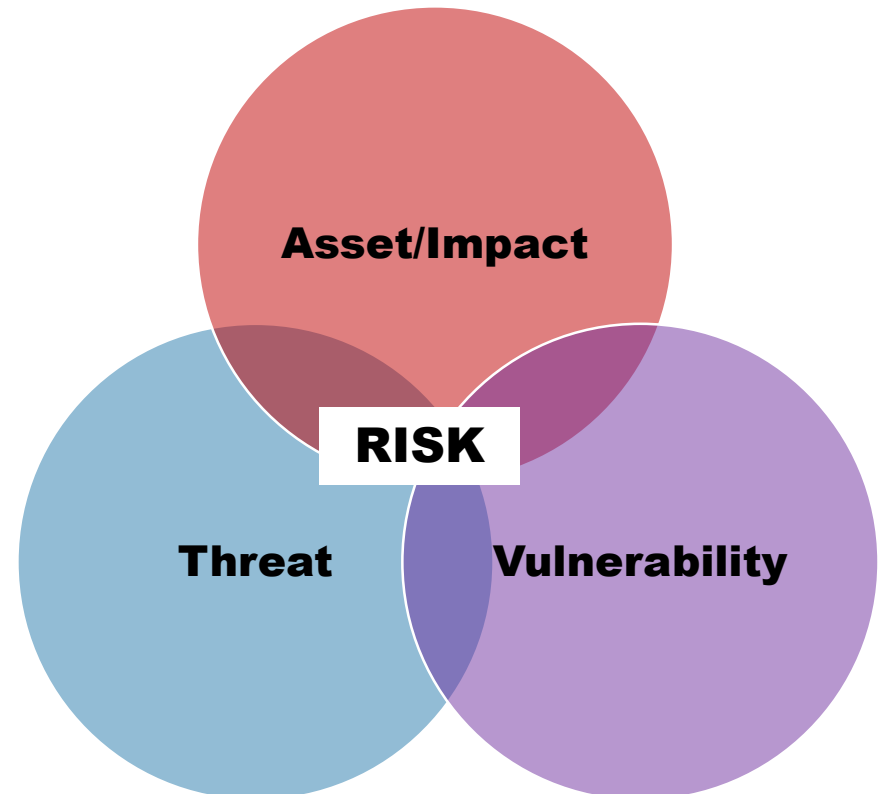
**In accordance with 32 Code of Federal Regulation (CFR) Part 117, contractors will review their security programs on:**

- A continuing basis
- Conduct formal self-inspections
  - ✓ At least annually
  - ✓ At intervals consistent with Risk Management principles





# Risk Management





# Risk Management



Know what your company does and what their business practices are to manage risk.

- ✓ What classified contracts does my company have?
- ✓ What classified programs is it working on?
- ✓ What are my company's assets?
- ✓ What are the threats and vulnerabilities to my company's assets?



## Poll Question

### Poll Question 1

Have you conducted a self-inspection  
(contractor review)?



# Self-inspection Elements



## Self-inspection Elements



# Self-inspection – Common Elements

## Elements common to ALL cleared companies:

- ✓ Procedures [117.7]
- ✓ Reporting Requirements [117.8]
- ✓ Entity eligibility determination for access [117.9]
- ✓ Contractor eligibility for access to classified [117.10]
- ✓ Foreign Ownership, Control, or Influence (FOCI) [117.11]
- ✓ Security training and briefings [117.12]
- ✓ Classification [117.13]
- ✓ Visits and Meetings [117.16]



# Self-inspection – Safeguarding Elements

## Elements applicable to companies with safeguarding:

- ✓ Marking requirements [117.14]
- ✓ General safeguarding [117.15(a)]
- ✓ Standards for Security Equipment [117.15(b)]
- ✓ Storage [117.15(c)]
- ✓ Intrusion Detection System [117.15(d)]
- ✓ Information Controls [117.15(e)]







# Self-inspection – Safeguarding Elements

- ✓ Transmission of classified information [117.15(f)]
- ✓ Destruction [117.15(g)]
- ✓ Disclosure [117.15(h)]
- ✓ Disposition [117.15(i)]
- ✓ Retention [117.15(j)]
- ✓ Termination of security agreement [117.15(k)]
- ✓ Safeguarding CUI [117.15(l)]





# Self-inspection Process

- **Pre-inspection**
- **Inspection**
- **Post-inspection**





# Pre-inspection





# Pre-inspection

- ✓ Identify all security elements that apply.
- ✓ Familiarize yourself with your company's business structure and organization.
- ✓ Know your facility's physical layout.
- ✓ Identify current threats to your company's technologies.
- ✓ Have a basic knowledge of your company's classified programs.
- ✓ Identify what records you may need to review.



# Pre-inspection (continued)

- ✓ Contact your senior management team, program, and department managers.
- ✓ Select an inspection strategy (Traditional vs Programmatic).
- ✓ Identify who you will need to talk to.
- ✓ Prepare a list of questions and topics that need to be covered.
- ✓ Schedule meetings in advance.
- ✓ Make a formal announcement of your visit.





## Poll Question

### Poll Question 2

Have you used the Self-Inspection Handbook when conducting your self-inspection?

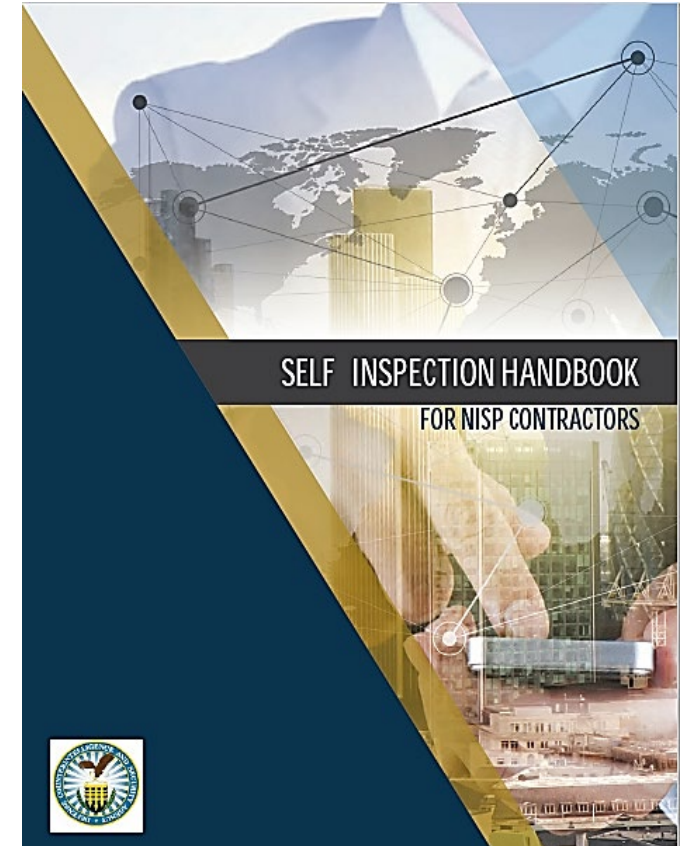




# Self-Inspection Handbook

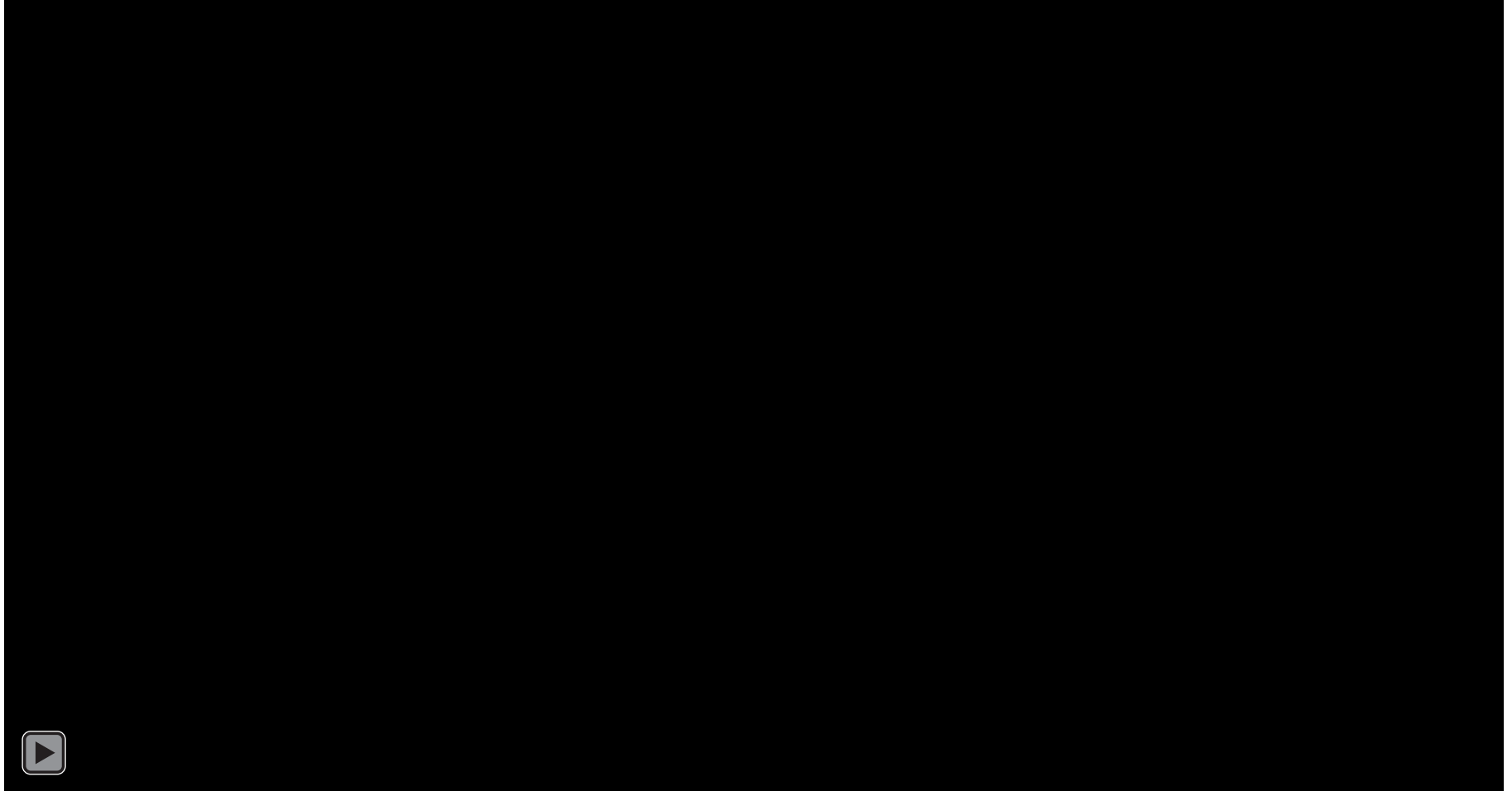
- Self-Inspection Handbook
  - ✓ Section 1 – Overview
  - ✓ Section 2 – Risk Exposure
  - ✓ Section 3 – Inspection Checklists
  - ✓ Section 4 – Inspection Findings
  - ✓ Appendix 1 – Questions for Employees
- Use ONLY as a guide
- Should not be the extent of your self-inspection

[Self-Inspection Handbook NISP \(dcsa.mil\)](https://dcsa.mil)





# Self-Inspection Handbook (continued)





# Inspection (continued)

**According to the 32 CFR Part 117, self-inspections will include the review of:**

- ✓ Classified activity
- ✓ Classified information
- ✓ Classified information systems
- ✓ Overall security program conditions
- ✓ Insider threat program





# Inspection (continued)

## Inspection reminders:

- ✓ Verify and validate compliance with requirements
- ✓ Self-inspection checklist
- ✓ Review documentation
- ✓ Interview employees as needed
- ✓ Ask follow-up questions for clarity







# Post-inspection Actions





# Post-inspection Actions

## Prepare formal report:

- ✓ Describe Self-inspection
- ✓ Findings
- ✓ Resolution of issues found

**Certify to DCSA through the National Industrial Security System (NISS)**

**Retain formal report for DCSA review until after next DCSA review**



# SMO Responsibilities

## Senior Management Official (SMO) actions:

- **Written annual certification to the DCSA stating:**
  - ✓ A self-inspection has been conducted.
  - ✓ Key Management Personnel (KMP) have been briefed on self-inspection results.
  - ✓ Corrective actions have been taken.
  - ✓ Management fully supports the security program.





---

# *Questions?*

---

For additional information:

<https://www.cdse.edu/Training/Toolkits/FSO-Toolkit/>

**DEFENSE  
COUNTERINTELLIGENCE  
AND SECURITY AGENCY**

---

