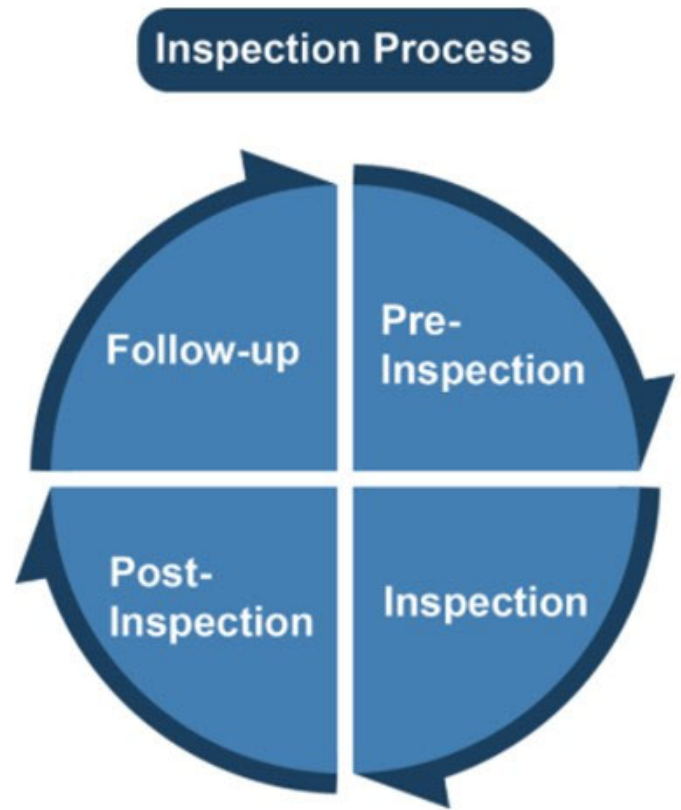


# How to Conduct an Inspection – Helpful Tips



## JOB AID



**CDSE** Center for Development  
of Security Excellence

# Inspection Process

Pre-Inspection	
<b>Ongoing</b>	<p><b>Research</b> Know your organization, its mission, and key security program personnel.</p> <p><b>Review</b></p> <ul style="list-style-type: none"> <li>• Local security directives and SOPs</li> <li>• Previous inspection reports</li> <li>• Waivers and requirement exceptions</li> </ul>
<b>After Receiving a Data Call</b>	<p><b>Plan</b></p> <p>Make note of:</p> <ul style="list-style-type: none"> <li>Dates to be conducted</li> <li>Scope</li> <li>In-brief time</li> <li>Out-brief time</li> <li>Type of work area needed</li> <li>Security container needed</li> <li>IT needs</li> </ul> <p>Compile:</p> <ul style="list-style-type: none"> <li>References such as SOPs, DOD policy guidance, and local security directives</li> <li>Relevant documentation such as waivers, exceptions, self-inspections or reviews, last higher headquarters security inspection report and follow-up correspondence, facility accreditation/computer authorization, and DD Form 254s</li> <li>List of all personnel and clearance status</li> </ul> <p>Arrange for:</p> <ul style="list-style-type: none"> <li>Points of contact names and phone numbers</li> <li>Installation map and directions to facility</li> <li>Installation access</li> <li>Reserved parking</li> <li>Facility badges</li> <li>Unescorted access within facility</li> </ul> <p>Communicate requirements:</p> <ul style="list-style-type: none"> <li>Meet with Command Team</li> <li>Notify employees of upcoming inspection</li> </ul>
Inspection	
	<ul style="list-style-type: none"> <li>Command Team attends the in-brief</li> <li>Respond to requests from the inspection team</li> <li>Correct deficiencies on the spot, if possible</li> </ul>
Post-Inspection	
	<ul style="list-style-type: none"> <li>Attend out-brief</li> <li>Make note of the inspection team's findings</li> </ul>
Follow-up	
	<ul style="list-style-type: none"> <li>Identify Lessons Learned</li> <li>Correct deficiencies, if needed</li> </ul>

## Pre-Inspection Email Template

Dear Employees,

An inspection team from a higher headquarters will be coming to [organization name] on [date(s)]. They will be working from [time] to [time] each day, based in [location], and they may visit restricted areas in our organization.

Our main goal is to demonstrate we understand our security procedures and use good security practices.

To prepare for the inspection, ensure you are up-to-date on your training requirements and you are familiar with security policies and regulations related to your day-to-day work. The inspectors may interview you or send you a survey.

I plan on meeting with the Security Managers on [date] to discuss our self-inspection findings and agenda for the inspection beginning on [date]. Please reach out to your supervisor if you have any questions.

Very respectfully,

[Name]

[Title]

## Post-Inspection Email Template

Dear Employees,

Thank you very much for your participation in our inspection. These inspections are opportunities for us to reflect on our processes and determine if we can make improvements.

Inspections are conducted to enhance security programs, and we have some areas for improvement. The inspection team noted [number] findings:

- [Finding 1]
- [Finding 2]

The security managers will meet to discuss these findings, how to correct the findings, and review best practices. If you have any questions, please ask your supervisor.

Very respectfully,

[Name]

[Title]

## Inspector's Notes

### Vulnerability and Oversight Assessment Tools

- **Daily Observation:** An informal look at the day-to-day practices of controlling and safeguarding assets.
- **Inspections:** Examinations into the effectiveness of a specific area or activity within a security program.
- **Surveys:** A means of gathering feedback and information about the activity's security program; helping identify if correct procedures are in place or identifying the security posture of an organization; pointing out potential vulnerabilities/threats; providing data to prioritize use of resources, such as justification for funding, equipment, and manpower.
- **Assessments:** A comprehensive evaluation of an installation, facility, or activity to determine preparedness to deter, withstand and/or recover from the full range of adversarial capabilities based on the threat assessment, compliance with protection standards, and risk management.
- **Staff Assist Visits (SAVs):** A "no-fault" look at aspects of the security program. SAVs are useful in determining if areas of security meet required standards, and they provide a baseline security posture and advice on meeting requirements.
- **Analysis of Reports:** Analysis of records and reports concerning security incidents or violations will indicate possible security program weaknesses and may indicate topics for training or security education.

### Inspector's Pre-Inspection Activities

**Research:** Identify the activity's mission and key security program personnel. The single most important responsibility when preparing is to know the organization, its mission, and key personnel.

#### Review:

- **Local security directives and SOPs.** Reviewing SOPs and local directives will help you identify if the activity implements more stringent policies.
- **Previous inspection reports.** Reviewing previous inspection reports allows you to spot trends and corrections.
- **Waivers and requirement exceptions.** Waivers and exceptions help identify where you may appropriately deviate from policy.

**Prepare:** These activities will assist you as you get ready for the inspection.

- **Develop an inspection plan or checklist.** Plans and checklists help maintain focus and manage time.
- **Determine the scope of the inspection.** For scope, consider: Which security discipline is involved? What exactly will you inspect (clearance procedures, storage marking, computer use, badging policy, access policies), and what is and is not authorized to ask?
- **Decide if the inspection/assessment is announced or unannounced.** Announced inspections allow the activity to prepare for the inspection, which fosters a better attitude toward inspections and a better working relationship with the inspector. You may plan an unannounced inspection to verify corrective actions to problems identified in a previous inspection.

## The Inspector's Role

- **Teach** policy and policy changes, plus serve as one means of security education
- **Help** figure out how to practice good security
- **Advise** on new ways to do things
- **Assist** in getting necessary answers and resources

The inspector's overall goal is to leave the program better than they found it.