

# Student Guide

## How to Conduct an Inspection—Helpful Tips Short

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### Introduction

Welcome to the How to Conduct an Inspection—Helpful Tips Short.

Protecting our nation's critical assets requires continuous program oversight.

Some of the available tools include daily observation, inspections (formal or self-inspections), surveys, assessments, staff assist visits (SAVs), and analysis of reports.

This short will focus on formal inspections.

Information button:

### Vulnerability and Oversight Assessment Tools:

**Daily Observation:** An informal look at the day-to-day practices of controlling and safeguarding assets.

**Inspections (formal or self):** 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.

Meet Ms. Hughes. She has served as the security manager at the National Defense Center (NDC) for nearly a year.

Today she received a data call letter from a higher headquarters informing the NDC they will have an inspection in 60 days.

What can Ms. Hughes expect during these next months? What will she plan and do?

During this short course, you will observe Ms. Hughes as she guides her organization through the four stages of the inspection process: pre-inspection, inspection, post-inspection, and follow-up.

By the end of this short, you will be able to identify and plan items to consider before, during, and after the inspection.

## Before the Data Call

Narrator: When Ms. Hughes first joined NDC, one of her first tasks was to thoroughly research the NDC, its mission, and key personnel.

- Ms. Knight, NDC Director
- Mr. Lopez, NDC Deputy Director
- Mr. Randolph, NDC Operations Manager
- Mr. Simpson, NDC Chief of Staff
- Ms. Bond, NDC Logistics Manager

Ms. Hughes also took time to thoroughly review key security documents:

- Local security directives
- Standard Operating Procedures (SOPs) to identify if NDC implements more stringent policies than the minimum DOD requirements
- DOD Policy Guidance
- Previous inspection reports to identify any findings and corrections; and
- Waivers and exceptions which identify where NDC appropriately deviates from policy.

After researching the NDC and reviewing key documents, Ms. Hughes coordinated with NDC leadership to schedule a time to perform a self-inspection. She gained a solid understanding of programs at the NDC, its mission, and key personnel. Leadership fully supported Ms. Hughes' self-inspection request.

During the self-inspection, there were a couple of findings which were corrected on the spot. One person was found not wearing their badge; it was affixed to their jacket in their office. Additionally, another person was working in a restricted area and had left a classified document uncovered on their desk while they stepped away to get a cup of coffee.

## Pre-Inspection

Ms. Hughes: Good morning! I'm glad you could join me today. Here at the NDC we conduct research, engineering, testing, and evaluation studies on various types of weapons, communications, and intelligence collection systems. Many of our projects are classified as Top Secret and require Sensitive Compartmented Information access.

I've just received a data call letter from a higher headquarters. A team is expected to arrive in 60 days to conduct a formal inspection. Planning is the key to success.



MILITARY DEPARTMENT  
Washington, DC

February 26

MEMORANDUM FOR NATIONAL DEFENSE CENTER  
ATTN: Ms. Hughes

SUBJECT: FORMAL INSPECTION

1. On behalf of the higher headquarters, a Formal Inspection is scheduled for your location during May 12 to May 16. The scope of this investigation encompasses the four core security disciplines: information security, personnel security, physical security, and industrial security. The in-briefing is tentatively scheduled for 0800 on May 12. The out-briefing is tentatively scheduled for 1300 on May 16.
2. The Inspection Team will require a dedicated secure office space with a GSA-approved security container with combination lock set to default of 50-25-50, a computer with Microsoft Office suite, a printer, and a monitor.
3. I can be contacted at (555)555-5555(STE) or via the following Unclassified email address: Inspector@HQHigher.mil.

THERESA A. TAYLOR  
Lead Inspector

Ms. Hughes: Let's start with the basics. When will they arrive, and what will they inspect? I can make note of:

- The dates to be conducted: One week: May 12 to 16, 0800 to 1600 each day.
- The inspection will encompass the four core security disciplines: information security, personnel security, physical security, and industrial security.
- In-brief time is scheduled for 0800 on Monday with security personnel, as well as the Command Team.
- Out-brief time will be 1300 on Friday with security personnel and the Command Team.

The dates and times are taken care of. What will they need while they are here? A dedicated, secure office space, a GSA-approved security container with the combination lock set to the default of 50-25-50, and a computer with Microsoft Office suite, a printer, and a monitor.

This isn't included in the data call letter, but I will need to compile references such as SOPs, DOD policy guidance, and local security directives; 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; and a list of all personnel and their clearance status.

What can I do to meet the team's access needs? I can arrange for points of contact names and phone numbers, installation map and directions to the facility, installation access, reserved parking for the week, facility badges, and unescorted access within the facility.

How can I best communicate the inspection requirements to the NDC? I will plan to meet with the Command Team, and notify employees via email of the upcoming inspection.

I better get started to make these arrangements. First, I'll set a date to meet with the Command Team to brief them on the upcoming inspection.

Ms. Knight, NDC Director: Good morning, Ms. Hughes. I hear we are scheduled for an inspection soon?

Ms. Hughes: Yes, I received the data call letter this week.

Mr. Lopez, NDC Deputy Director: I remember the last inspection. They did document a few findings. Can you give us a summary of what they found and the corrective actions?

Ms. Hughes: There were a few findings, which were corrected within the time frame requirement from the inspection report. We received a final report documenting our corrections. Under physical security, it was noted that lamps were burned out in the parking lot, which were replaced by the Department of Public Works. They also noted multiple employees entering at one time. The guards were instructed to enforce the prohibition against piggybacking during entry. They also found missing signage identifying restricted areas, which was ordered and replaced.

Under information security, the prior inspection found that employees were not regularly removing their badges when they exited the building. They were reminded to do so.

Under personnel security, the finding was inadequate training. Refresher training was provided and completed, and training records were verified. During our most recent self-inspection, these findings were not documented again.

Mr. Randolph, NDC Operations Manager: Sounds like we're well prepared. How can we help when the inspectors come?

Ms. Hughes: It will be important for you to attend the in-brief and answer any questions the inspection team may have. They will interview some of our employees to get a sample of our security posture. We would like for you to provide a list of personnel who will be available for those interviews.

Mr. Randolph, NDC Operations Manager: OK, I will send you a list.

Ms. Hughes: Thank you, Mr. Randolph. Ms. Bond, from a logistics standpoint, we will need to provide a dedicated secure office space, including a GSA-approved container, a computer with Microsoft Office suite, a printer, and a monitor.

Ms. Bond, NDC Logistics Manager: I'll coordinate with my team to make sure your requested items are made available the Friday before the inspection date. They will be assigned Conference Room A.

Ms. Hughes: Hello again, good to see you. The command meeting went well. I am so glad we did that self-inspection a few weeks ago. We noted and corrected a few findings. I'm typing an email now to our employees and their security managers to inform them of the upcoming inspection from our higher headquarters.

Dear Employees,

An inspection team from a higher headquarters will be coming to the NDC on May 12 – May 16 to inspect the four core security disciplines – information, personnel, physical, and industrial. They will be working from 0800 to 1600 each day, based in Conference Room A, 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 April 1 to discuss our most recent self-inspection findings and agenda for the inspection beginning May 12. Please reach out to your supervisor if you have any questions.

Now the Command Team and employees at the NDC know about our upcoming inspection. The inspection provides us an opportunity to ensure our security program is compliant, plus we'll learn security best practices.

Narrator: Meanwhile, prior to conducting the inspection of the NDC, the inspection team completed several pre-inspection activities in order to become familiar with the organization, its mission, and key personnel. These activities fall into three general categories: Research, Review, and Prepare.

Information button:

Pre-inspection activities fall into three general categories:

**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, 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 security manager. You may plan an unannounced inspection to verify corrective actions to problems identified in a previous inspection.

## Inspection

Narrator: On Monday, May 12th, the inspection team arrives at the NDC. Because of Ms. Hughes’ pre-inspection actions, they were successfully able to enter the installation, park, enter the appropriate building, obtain badges, and gain entrance to Conference Room A.

Before beginning their inspection, the team meets with Ms. Hughes and the NDC Command Team.

Ms. Knight, NDC Director: Welcome to the NDC. I’m Ms. Knight, the director.

Ms. Taylor, Lead Inspector: Thank you. I’m Ms. Taylor and I am the lead inspector. This week we will be reviewing the four core security disciplines. I have with me a physical security specialist to inspect facility security measures; an information security specialist who will inspect your information security program, which will also include Communications Security (COMSEC) and cybersecurity; a personnel security specialist to assess records in the system of record; and an industrial security specialist to inspect the DD 254s.

During the inspection, as mentioned in the data call letter, we’ll need access to various systems, and we’ll interview some of the personnel.

Ms. Hughes: Yes, we have made all the arrangements, and we’ve prepared all the materials you asked for about our security program. Are you familiar with our mission and programs?

Ms. Taylor: Yes. We'll get started on our inspection and contact you as needed. Please plan to meet with us on Friday at 1300 for the out-brief for you and the Command Team.

Narrator: The inspectors walked through the facilities and compared the inspection criteria with their observations. The physical security specialist paused to look at container documentation. He noticed that the SF-702 (Security Container Check Sheet) was not signed on several Fridays. The inspector recorded this finding on the inspection form.

The inspection team observed an employee leaving their computer to retrieve items from the printer, leaving their Common Access Card (CAC) in their computer. The employee was sidetracked by a colleague, and left the computer, unattended, for 10 minutes. This finding was brought to the immediate attention of Ms. Hughes, who corrected it on the spot, by reminding the employee and their supervisor of the requirement to take the CAC out of their computer.

In another area of the facility, the physical security specialist noted that he could hear conversations coming through the door of a restricted area. He recorded this finding on the inspection form.

Other members of the inspection team conducted the inspection of their disciplines, and they did not record any findings.

Before the out-brief, the inspection team meets with Ms. Hughes for an informal review of the findings.

## Post-inspection

Narrator: On Friday, May 16th, the inspection team and the NDC Command Team meet for an out-brief of the inspection.

Ms. Taylor, Lead Inspector: We reviewed your core security disciplines. We noted the corrective actions are in place from the prior inspection. During the inspection, we identified three findings, one of which was corrected on the spot.

The first finding is related to information security. A CAC was left in an unattended computer. This issue was corrected on the spot.

The second finding is related to safeguarding. The required form SF-702 (Security Container Check Sheet) for a security container must be signed at the end of every duty day.

The third finding is related to security controls. We found the door to the restricted area does not meet sound attenuation requirements.

Ms. Knight, NDC Director: OK, thank you for your time. What happens now?

Ms. Taylor, Lead Inspector: You'll receive our report within 30 days. The report will detail the deadline to resolve the findings. Our goal as inspectors is to leave the security program better than when we arrived. We appreciate your cooperation and the time you spent preparing for this inspection.

Narrator: To improve security programs, inspectors work to teach, help, advise, and assist.

Information button:

The inspector's role is to:

- 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 inspectors' overall goal is to leave the program better than they found it.

As the team departs, Ms. Hughes collects the inspection team badges. She resets the security container combination, sweeps Conference Room A to ensure no information was left behind, and works with the Logistics Director to remove the security container. She also disables the badges.

## Follow-up

Ms. Hughes: 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 two findings:

- Safeguarding—Required SF-702 for security container must be signed at the end of every duty day.
- Security controls—Door to the restricted area does not meet sound attenuation requirements.

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.

It's important to share with employees the results of our inspection. Without everyone's participation, we can't be compliant. During the security manager meeting, I'll ask for their input on three key points:

- What went well?
- What could have gone better?
- What would you do differently next time?

I'll document our lessons learned and save them for reference during our next inspection.

Ms. Knight, NDC Director: Can you give me a brief summary of the report we are sending back to the inspection team, Ms. Hughes?

Ms. Hughes: Yes. With the door not meeting sound requirements, we requested an exception to policy and it was approved. We are mitigating the risk by using marked stand-off distances around the door, where discussion is prohibited. I also provided refresher training on how to complete the SF-702 to the team that had not properly completed it.



Ms. Knight, NDC Director: Thank you, Ms. Hughes, for ensuring our security program is in compliance with policy. I'm glad we resolved these findings.

Narrator: Because all findings were resolved, the inspection team did not schedule a follow-up.

## Knowledge Checks

### Question 1

Read the question below and select the best response.

What must you know to prepare for an inspection?

- Organization's mission
- Key personnel
- Organization's security programs
- All of the above

### Question 2

Read the question below and select the best response.

What is the inspection team's goal?

- Leave the security program in worse shape after an inspection
- Recommend all security personnel in the organization be fired
- Leave the security program better than before the inspection
- Provide negative opinions without policy guidance

### Question 3

Read the question below and select the best response.

Inspectors may interview or send out surveys to employees during which stage of the inspection process?

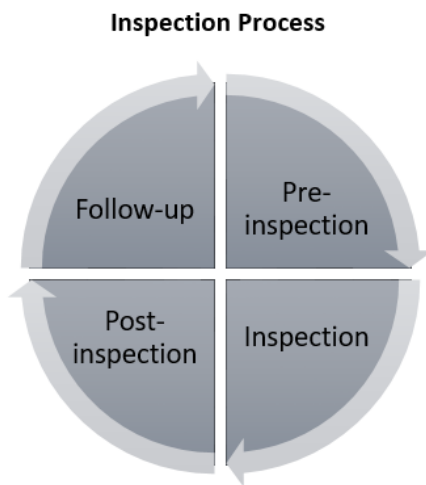
- Pre-inspection
- Inspection
- Post-inspection
- Follow-up

## Conclusion

During this short course, you learned to identify and plan items to consider before, during, and after an inspection.

You learned the four stages of the inspection process:

1. Pre-inspection
2. Inspection
3. Post-inspection, and
4. Follow-up



## Conclusion

Congratulations! You have completed How to Conduct an Inspection—Helpful Tips.

## Knowledge Check Answers

### Question 1

What must you know to prepare for an inspection?

- Organization's mission
- Key personnel
- Organization's security programs
- **All of the above**

Feedback: To prepare for an inspection, you must know your organization's mission, key personnel, and security programs.

### Question 2

What is the inspection team's goal?

- Leave the security program in worse shape after an inspection
- Recommend all security personnel in the organization be fired
- **Leave the security program better than before the inspection**
- Provide negative opinions without policy guidance

Feedback: The inspection team's goal is to leave the security program better than before the inspection.

### Question 3

Inspectors may interview or send out surveys to employees during which stage of the inspection process?

- Pre-inspection
- **Inspection**
- Post-inspection
- Follow-up

Feedback: Inspectors may interview or send out surveys to employees during the inspection stage of the inspection process.

## The 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> Make note of:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Dates to be conducted</li> <li><input type="checkbox"/> Scope</li> <li><input type="checkbox"/> In-brief time</li> <li><input type="checkbox"/> Out-brief time</li> <li><input type="checkbox"/> Type of work area needed</li> <li><input type="checkbox"/> Security container needed</li> <li><input type="checkbox"/> IT needs</li> </ul> <p>Compile:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> References such as SOPs, DOD policy guidance, and local security directives</li> <li><input type="checkbox"/> 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><input type="checkbox"/> List of all personnel and clearance status</li> </ul> <p>Arrange for:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Points of contact names and phone numbers</li> <li><input type="checkbox"/> Installation map and directions to facility</li> <li><input type="checkbox"/> Installation access</li> <li><input type="checkbox"/> Reserved parking</li> <li><input type="checkbox"/> Facility badges</li> <li><input type="checkbox"/> Unescorted access within facility</li> </ul> <p>Communicate requirements:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Meet with Command Team</li> <li><input type="checkbox"/> Notify employees of upcoming inspection</li> </ul>
Inspection	
	<ul style="list-style-type: none"> <li><input type="checkbox"/> Command team attends the in-brief</li> <li><input type="checkbox"/> Respond to requests from the inspection team</li> <li><input type="checkbox"/> Correct deficiencies on the spot, if possible</li> </ul>
Post-Inspection	
	<ul style="list-style-type: none"> <li><input type="checkbox"/> Attend out-brief</li> <li><input type="checkbox"/> Make note of the inspection team’s findings</li> </ul>
Follow-up	
	<ul style="list-style-type: none"> <li><input type="checkbox"/> Identify Lessons Learned</li> <li><input type="checkbox"/> 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
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- **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.