MODULE 14: SECURITY INSPECTION AND VALIDATION

Day: 7 **Time:** 2.0 Hours **Level of Understanding:** Application

Instructional Strategies:
- Lecture
- Large-Group Discussion
- Small-Group Exercise
- TeachBack Moment

Module Equipment/Facilities:
- Standard Classroom Setup
- Threaded Exercise Workbook Part 7 — National Ministries Building Answer Key
- National Ministries Building Map

Participant Materials/Handouts:
- Workbook 14.1: Security Inspection and Validation Program Directive
- Workbook 14.2: Security Inspection and Validation Checklists
- Workbook 14.3: Limited Scope Performance Testing
- Workbook 14.4: Security Inspection and Validation Report
- Threaded Exercise Workbook Part 7 — National Ministries Building

Terminal Learning Objective

By the end of this module, you will be able to describe how to develop a security inspection and validation program.

Introduction

Without a security inspection and validation program, facility management would not have sufficient information to determine whether an existing security countermeasure is effective or have the ability to evaluate potential upgrades to the physical protection system as required. A security inspection and validation program provides the security inspector guidance in determining the effectiveness of an existing physical protection system. In the previous three modules, you learned the operational function of three important elements of a physical protection system: policies and procedures, personnel (security force), and technology.

In this module, you will create a security inspection and validation checklist to validate each security countermeasure using the provided evaluation criteria. In addition to specific criteria, you will receive guidance on how to conduct inspections, as well as develop limited scope performance tests.

Module Topics

An outline of key topics and an approximate time plan are shown below.

Topic	Enabling Learning Objectives	Approximate Time
Module Introduction	▪ Not Applicable	5 minutes
Purpose of a Security Inspection and Validation Program	▪ Describe the purpose of a security inspection and validation program.	10 minutes
Elements of a Security Inspection and Validation Program	▪ Explain the elements of a security inspection and validation program for each of the security countermeasures.	20 minutes
Phases of the Security Inspection and Validation Program	▪ Explain the three phases of a security inspection and validation program.	75 minutes
Module Summary	▪ Not Applicable	10 minutes

The module times are guidelines only. The actual time required may vary based on the experience level and interest of the participants or other factors encountered during the training session.

Key Terms

Key Term	Description
Marginal	The rating used in evaluating effectiveness of a physical protection system; means that the system only partially meets identified protection needs or provides questionable assurance that those protection needs will be met should they arise
Satisfactory	The rating used in evaluating effectiveness of a physical protection system; means that all elements of the physical protection system are working effectively to maintain the expected level of security
Security inspection and validation program directive	A written order for implementing and conducting a security inspection and validation program on a regular basis
Subject matter expert	Person with real expert knowledge about what it takes to do a particular job

Key Term	Description
Unsatisfactory	The rating used in evaluating effectiveness of a physical protection system; means that the elements of the physical protection system are not functioning as designed and that the effectiveness has been reduced to the point of failure

Topic: Module Introduction — 5 Minutes

Slide 1 Security Inspection and Validation

- Title Slide

Graphic Description: US Flag and Seal

Module Preparation

- **Timing and Methods:** Use the suggested time plan at the beginning of the module. As with all modules in this course, read all the content (Facilitator Guide and PowerPoint slides) and familiarize yourself with each facilitator note before class.
- Be thoroughly prepared for exercises, discussions, or other activities required for the module. Follow all facilitator notes. Use a combination of lecture, large-group discussion, small-group activities, and TeachBack moments.

Orientation to Participant Guide

- When beginning this module:
  - Refer participants to the beginning of this module in the Participant Guide.
  - Note the list of addendums participants will use during this module. Explain that instructions for all exercises are included in the addendums.
  - Review the key terms and abbreviations/acronyms before beginning the module.

Slide 2 Module Objective

- By the end of this module, you will be able to describe how to develop a security inspection and validation program

Graphic Description: No Graphic

- Briefly discuss the terminal learning objective.
- Highlight the key topics to be presented:
  - Purpose of Security Inspection and Validation
  - Primary Elements of a Security Inspection and Validation Program
  - Phases of a Security Inspection and Validation Program

Slide 3 Course Map with VAM Phases Diagram

- *No Text*

Graphic Description: Physical Protection System Diagram with Identify Security Countermeasures box highlighted in yellow

- Tell participants where this module is in relation to the PPS Diagram in the addendum.
- Explain how the security inspection and validation program evaluates all the elements they learned about in previous modules, such as policies and procedures, security force, and technology.

- Recall that security inspection and validation involves establishing evaluation criteria for the three security countermeasure elements.

Topic: Purpose of a Security Inspection and Validation Program	**10 Minutes**

Enabling Learning Objective:
- Describe the purpose of a security inspection and validation program.

Slide 4 Purpose of a Security Inspection and Validation Program
▪ Provides management with a means to evaluate the effectiveness of an existing physical protection system ▪ Evaluates all aspects of the critical infrastructure's assets including personnel, processes, equipment, and information
Graphic Description: No Graphic

- Explain that the purpose of a security inspection and validation program is to provide management with a means to evaluate the effectiveness of an existing physical protection system.
- Tell participants that a security inspection and validation program evaluates all aspects of the critical infrastructure's activities toward protecting their security interests, including personnel, processes, equipment, and information.
- Explain that the goals of the security inspection and validation program include determining if the physical protection system:
  - Performs as required by the policies and procedures issued by the agency or country.
  - Is effective in protecting the critical infrastructure against a range of terrorist threats.
- Tell participants that additional assistance is needed for senior managers to provide effective and efficient management of the physical protection system program objectives.

Slide 5 Discussion Questions
▪ Have evaluators ever come to your agency to conduct an inspection of security? • If so, what did they do? • What questions did they ask? • What types of documents did they review?
Graphic Description: No Graphic

- Ask participants:
  - **Have evaluators ever come to your agency to conduct an inspection of security?**
- Acknowledge responses. *Responses will vary.*
  - **If so, what did they do?**

- Acknowledge responses. *Responses will vary.*
  - **What questions did they ask?**
- Acknowledge responses. *Responses will vary.*
  - **What types of documents did they review?**
- Acknowledge responses. *Responses will vary.*

Topic: Elements of a Security Inspection and Validation Program	**20 Minutes**

Enabling Learning Objective:
- Explain the elements of a security inspection and validation program for each of the security countermeasures.

Slide 6 Elements of a Security Inspection and Validation Program

- This section will cover:
  - Introduction
  - Reference list
  - Definitions list
  - How to conduct the program
  - Responsibilities of senior managers

Graphic Description: No Graphic

- Explain that the security inspection and validation program must include systematic processes for demonstrating the adequacy and functional reliability of the physical protection system.
- Tell participants that these processes should be recorded in one comprehensive document so all parties concerned understand the purpose of the security inspection and validation program.
- Tell participants that at a minimum, the documentation for the security inspection and validation program should include the following elements:
  - Introduction
  - Reference list of policies and procedures
  - Definitions list of unfamiliar terms or acronyms
  - How to conduct the security inspection and validation program
  - Responsibilities of senior managers for ensuring the success of the security inspection and validation program
- Tell participants that each of these elements is described in detail on the following slides.

Slide 7 Introduction

- States the purpose of the inspection
- Explains to whom the information applies

Graphic Description: Officer conducting inspection

- Explain that the security inspection and validation documentation should begin with an introduction that:
  - States the purpose of the inspection; for example, this introduction states that the purpose is to: establish policy, requirements, and responsibilities for a security inspection and validation program that encompasses systematic processes for demonstrating the adequacy and functional reliability of critical system elements and total systems employed to meet safeguards and physical protection system needs.
  - Includes a brief explanation regarding to whom the information applies.

Slide 8 Reference List
▪ Cites all sources used to formulate the security inspection and validation program ▪ Includes regulations, policies, and procedures ▪ Allows evaluators to easily locate documentation
Graphic Description: Stack of file folders and documents

- Explain that the security inspection and validation documentation must also include a reference list that:
  - Cites all sources that were used to formulate the security inspection and validation program.
  - Includes regulations or other documentation about the critical infrastructure's policies and procedures for personnel, processes, equipment, and information.
- Tell participants that the reference list allows the evaluators to easily refer back and locate the documentation that provided the criteria for the security inspection and validation.
- Provide an example, such as:
  - If you were creating a security inspection and validation program for a critical infrastructure where the security force is required by regulation to shoot at a minimum of 80% accuracy to qualify on their handgun, you should include that regulation in your reference list.
  - This way, evaluators know that those criteria are based on a regulation and they can refer to that document, as needed, to determine if the security force is at 80% compliance.

Slide 9 Discussion Question
▪ What types of policies and procedures can you use to formulate a security inspection and validation program?
Graphic Description: No Graphic

- Ask participants: **What types of policies and procedures can you use to formulate a security inspection and validation program?**
- Acknowledge responses. *If not provided by participants, add the following:*
  - *Human rights policy*
  - *Ethics policy*

- *Security force response orders*
- *Security post orders*
- *Critical infrastructure standard operating procedures*

Slide 10 Definitions List
▪ Provides comprehensive list of unfamiliar terms or acronyms ▪ Helps ensure all evaluators understand all terms ▪ Clarifies how terms are used within context of a security inspection and validation program
Graphic Description: No Graphic

- Explain that the next element included in the security inspection and validation documentation is a list of definitions.
- Explain that the definitions list is a comprehensive list of unfamiliar terms or acronyms (words formed from the initial letters or groups of letters of words, such as SIV for security inspection and validation) along with a corresponding explanation of their meaning.
- Explain that it is important to include a definitions list because all the terms and acronyms used in the security inspection and validation program may not be familiar to all the evaluators.
- Tell participants that the definitions list will clarify how to use the terms and acronyms within the context of the security inspection and validation program since some terms and acronyms may have multiple meanings.
  - For example, in this module the acronym "SIV" would refer to "security inspection and validation."
  - However, to a mechanic, SIV would more likely mean "speed increase valve," while to someone in the financial field SIV means "special investment vehicle."
  - Clarifying all the definitions and acronyms in one consolidated list will help avoid any confusion over the meaning of the terms.
  - Note: if the class is not taught in English, work with the translators to help convey this concept to the participants.

Slide 11 Conducting Inspections
▪ Includes a detailed description of how inspections should be conducted ▪ Should include the following roles: • Team leader • Technical writer or editor • Subject matter experts
Graphic Description: Man conducting inspection

- Explain that after the definitions list, the security inspection and validation documentation must include a detailed description of how the inspections should be conducted. For example, for operations, the description should include the steps for

planning the inspection, conducting the inspection on-site, and finalizing (closing-out) the inspection.

- Explain that for a security inspection and validation program to be successful it is imperative that the individuals performing the analysis understand their specific role in how the inspection will be conducted, as well as, understand what is expected of them.
- Tell participants that at minimum, the security inspection and validation team should include the following roles:
  - Security inspection and validation team leader
  - Technical writer or editor
  - Subject matter experts
- Tell participants that some members of the security inspection and validation team may fulfill more than one role.
- Tell participants that the phases of conducting inspections will be discussed within this section.

Slide 12 Conducting Inspections — Team Leader (1 of 2)
▪ Meet with representatives from critical infrastructure ▪ Determine required skill set for team and selecting members ▪ Establish activity schedules ▪ Conduct team meetings
Graphic Description: No Graphic

- Explain that the responsibilities of the security inspection and validation team leader include:
  - Meeting with representatives from the critical infrastructure to determine scope of the security inspection and validation, the goals and objectives, and establish any parameters that may exist.
  - Determining the skill set required of security inspection and validation team members and select team members.
  - Establishing activity schedules for the security inspection and validation program and ensuring that changes are annotated and disseminated to everyone involved.
  - Conducting security inspection and validation team meetings to include location and time of meeting and assigning someone to record the meeting minutes and resulting actions and decisions.

Slide 13 Conducting Inspections — Team Leader (2 of 2)
▪ Monitor the progress of team assignments ▪ Gather information required to complete security inspection and validation process ▪ Coordinate all activities with representatives ▪ Ensure all required briefings and reports are written
Graphic Description: No Graphic

  - Monitoring the progress of assignments and mitigate any potential problems.

- Gathering information required to complete the security inspection and validation process.
- Coordinating all activities with representatives from the critical infrastructure.
- Ensuring that all required briefings and reports are written.

Slide 14 Conducting Inspections — Technical Writer (1 of 2)
▪ Ensure the current required report format is used in written report ▪ Attend meetings and maintain a record of the decisions made and actions to be taken ▪ Ensure the report is properly classified and marked in accordance with specific guidelines
Graphic Description: No Graphic

- Explain the roles and responsibilities of the technical writer include:
  - Ensuring the current required report format is used in developing the written repor.t
  - Attending meetings and maintaining a record of the decisions made and actions to be taken.
  - Ensuring the report is properly classified and marked in accordance with specific guidelines.

Slide 15 Conducting Inspections — Technical Writer (2 of 2)
▪ Review data collected with the security inspection and validation team ▪ Collect facility data and organize it into reference files for use ▪ Ensure that the appropriate individuals review all documentation for classification purposes
Graphic Description: Team leader providing direction to technical writer

- Reviewing data collected with the security inspection and validation team to ensure accuracy and applicability to the report.
- Collecting facility data and organizing it into reference files for use during the security inspection and validation.
- Ensuring that the appropriate individuals review all documentation for classification purposes; the protecting of classified material is the responsibility of every team member.

Slide 16 Conducting Inspections — Subject Matter Expert (1 of 2)
▪ Collect security inspection and validation data based on area of expertise ▪ Research documentation of past performance and identify what changes, if any, have occurred
Graphic Description: No Graphic

- Explain subject matter experts may come from a variety of areas such as :
  - Sensor and delay technologies

- Tactical or security force response
- Facility managers
- Physical security specialists
- Material control and accountability
- Radiological specialists

- Tell participants that each subject matter expert will be responsible for:
  - Collecting data for use in the security inspection and validation based on his or her individual area of expertise.
  - Researching any documentation of past performance and identifying what changes, if any, have occurred since the last security inspection and evaluation.

Slide 17 Conducting Inspections — Subject Matter Expert (2 of 2)
▪ Coordinate activities with site safety and security personnel prior to conducting any performance testing or site visits ▪ Attend scheduled meetings and provide adequate documentation to the team leader and technical writer
Graphic Description: No Graphic

- Coordinating security inspection and validation activities with site safety and security personnel prior to conducting any performance testing or site visits.
- Attending scheduled meetings and providing adequate documentation to the security inspection and validation team leader and technical writer as required.

Slide 18 Senior Management Responsibilities
▪ Address observations and findings of the security inspection and validation program: • What to do after the security inspection and validation is completed • Specify which positions are responsible for which corrective actions
Graphic Description: No Graphic

- Explain that the last element in the security inspection and validation documentation explains the responsibilities of senior managers in addressing the observations and findings of the security inspection and validation program:
  - What to do after the security inspection and validation is completed:
    - It is not enough for the security inspection and validation findings to document that an area is lacking adequate security protection.
    - Be sure to provide senior managers with guidance on how to follow up on the documented issues to ensure required changes are implemented in a timely and effective manner.
  - Specify which senior management positions are responsible for which corrective actions. For example, the document may state that the security inspection and validation program chief provides oversight, while the critical infrastructure security chief is responsible for developing a corrective action plan.

Slide 19 Documenting Elements in Standard Operating Procedures
▪ Creates a comprehensive plan by documenting all elements in standard operating procedures manual ▪ Promotes consistency and accuracy for the security inspection and validation team
Graphic Description: No Graphic

- Remind participants that *Module 11: Policies and Procedures* emphasized the importance of written standard operating procedure documents to provide direction and help ensure consistency in performance.
- Explain that all of the elements of the security inspection and validation program should be recorded in a standard operating procedure document or manual as a guide for completing a government authorized security inspection and validation of a facility. Having this guide:
  - Creates a comprehensive plan by documenting all elements in standard operating procedures manual
  - Promotes consistency and accuracy for the security inspection and validation team
- Ask participants whether they have any questions on anything covered thus far.

Slide 20 Security Inspection and Validation Program Directive (1 of 2) (Workbook 14.1) 
▪ A written order for implementing and conducting the program ▪ Provides information for: • Reason for the order • Manner in which the inspection will be conducted • Required format for findings and observations • Description of corrective action plan
Graphic Description: No Graphic

- Define **security inspection and validation program directive**: a written order for implementing and conducting a security inspection and validation program.
- Explain that documenting elements of the security inspection and validation program in standard operating procedures should contain a security inspection and validation program directive.
- Tell participants that the directive also provides the:
  - Reason for the order
  - Manner in which the inspection will be conducted
  - Required format for any findings and observations that will be reported
  - Description of the corrective action plan
- Refer participants to **Workbook 14.1: Security Inspection and Validation Program Directive**.
- Explain that the addendum is a simplified example of a security inspection and validation program directive.
- Allow participants five minutes to read the security inspection and validation program directive example.

Slide 21 Security Inspection and Validation Program Directive (2 of 2) (Workbook 14.1)

- Discussion questions:
  - What is the purpose of this program?
  - How many references were considered for this program?
  - What would initiate a program update?
  - What responsibilities are assigned to the critical infrastructure security manager?

Graphic Description: No Graphic

- Ask participants: **What is the purpose of this security inspection and validation program?**
- Acknowledge responses. *If not provided by participants, add the following: provide guidance to security inspection and validation teams, vulnerability analysis teams, and other related security audit groups who are charged with the responsibility to ensure that critical infrastructure facilities possess effective and efficient security measures.*
- Ask participants: **How many references were considered for this security inspection and validation program?**
- Acknowledge responses. *If not provided by participants, add the following: three.*
- Ask participants: **What would initiate a program update?**
- Acknowledge responses. *If not provided by participants, add the following: the program should be updated as needed any time there are substantial changes to the facility, including changing threats or technology, or substantial changes to the structure itself.*
- Ask participants: **What responsibilities are assigned to the critical infrastructure security manager?**
- Acknowledge responses. *If not provided by participants, add the following: developing a corrective action plan that depicts the observations and findings from the inspection, including recommendations on how deficiencies will be addressed.*

Topic: Phases of the Security Inspection and Validation Program — 75 Minutes

Enabling Learning Objective:

- Explain the three phases of a security inspection and validation program.

Slide 22 Phases of the Security Inspection and Validation Program

- This section will cover:
  - Phase 1: Inspection planning
  - Phase 2: Conducting inspection
  - Phase 3: Close-out

Graphic Description: No Graphic

- Explain that this section will cover the phases of the security inspection and validation program in detail, including inspection planning, conducting the inspection, and close-out of the inspection.

Slide 23 Phase 1: Inspection Planning (1 of 2)
▪ Gather and review primary documents ▪ Identify records and other documents that will be reviewed on-site ▪ Identify assets associated with the critical infrastructure
Graphic Description: Group planning inspection

- Tell participants that the first phase of the security inspection and validation program is inspection planning.
- Explain that the goal of the inspection planning phase is to prepare for the security inspection and validation so evaluators can evaluate the security of a specified critical infrastructure.
- Tell participants that, in order to achieve this goal, the security inspection and validation team must accomplish the following steps:
  - Gather and review pertinent documents describing the site to be inspected, such as building locations, crucial asset locations, and security force response routes.
  - Identify records and other documents that will be reviewed on site, such as classified crucial assets, vital process plans to include sensitive material or document listings.
  - Identify specific assets associated with the critical infrastructure being inspected. This should also include the threats to those assets and the security force responses to those threats. Recall from *Module 10: Analyzing the Threat* how to gather this type of data.

Slide 24 Phase 1: Inspection Planning (2 of 2)
▪ Familiarize team members with the site ▪ Determine the extent of the inspection ▪ Identify essential personnel to be interviewed ▪ Identify systems performance tests
Graphic Description: Group talking with stakeholder about inspection

- Familiarize team members with the site by conducting a pre-official tour of the facility as well as reviewing other related documentation provided by the facility management, such as maps of the facility, maps of the area, and pictures.
- Determine the extent of the inspection. This will help reduce the time on-site and provide a focus for the inspection. As an example, if a previous inspection found deficiencies in security force response to emergencies, then this item would be an area to focus on.
- Identify essential personnel to be interviewed. Typically, these personnel should have management responsibilities in the areas to be inspected, such as the Chief of Security, security command staff, the manager of crucial assets, and the critical infrastructure site manager.
- Identify systems performance tests, which will provide an indication that the physical protection system is operating effectively.

- As an example, a critical infrastructure may have sensors and closed-circuit television mounted on the perimeter fence.
- If the security inspection and validation team has noted through the document review that there is a high false alarm rate, they should test the performance of the system to identify problems related to the high false alarm rate.
- Such problems could include poor technology application or security force operator error.
- You will learn more about performance tests later in the module.

Slide 25 Phase 2: Conducting the Inspection

- Conduct data collection and analysis
- Review all pertinent records and documents
- Interview essential personnel
- Tour facility and observe employees
- Conduct limited scope performance testing

Graphic Description: Man conducting inspection

- Tell participants that Phase 2 of the security inspection and validation program is conducting the inspection.
- Explain that the inspection process consists of two interrelated activities, data collection and analysis.
- Tell participants that the on-site inspection includes:
  - Review of all pertinent records and other documents as previously discussed.
  - Interviews with essential personnel who understand the security operations and assets at the critical infrastructure.
  - Tours of the facility and job observation opportunities of security inspection and validation team members. For example, providing a security inspection and validation team member to ride with a designated security force patrol during a shift to observe what the officer does during the shift.
  - Conducting limited scope performance tests as required.
- Explain that all notes derived from interviews, tours, and job observation opportunities should be kept and used for documenting the final report, which will be discussed later in the module.

Slide 26 Security Inspection and Validation Checklists (1 of 2) (Workbook 14.2)

- Quick reference and can be used by anyone on the security inspection and validation team
- Can provide pass or fail information for the report

Graphic Description: No Graphic

Slide 27 Security Inspection and Validation Checklists (2 of 2) (Workbook 14.2)

- Used to assess each of the following areas:

- Policies and procedures
- Technology
- Ability to delay access
- Security force

Graphic Description: No Graphic

- Explain that having checklists makes the security inspection and validation program process easier to complete since checklists are easy-to-use quick references for a typically complicated set of rules, policies, or regulations.
- Tell participants that checklists can be used by anyone on the security inspection and validation team and are most helpful when a team member from a different discipline is assisting another member acquire information about another discipline. As an example, a security force subject matter expert may assist the technology security measures inspector by evaluating sensors in a specified area.
- Refer participants to **Workbook 14.2: Security Inspection and Validation Checklists.**
- Explain that the addendum includes examples of prepared security inspection and validation checklists for the four critical areas on the slide.
- Tell participants to follow along with the checklists in the addendum as you discuss each area.
- Explain the use of the **policies and procedures** checklist — as part of the inspection, the security inspection and validation team needs to thoroughly review the policies and procedures documents identified in Phase 1.
  - These will likely be found in a policies and procedures manual, which depicts the security standards for the facility.
  - The manual may be limited by the size of the facility and the type of activity that occurs.
  - An inspection should ensure that the manual contains sections on:
    - Evacuation procedures
    - Bomb threat procedures
    - Alarm sensor response procedures
    - Sign-in admittance
    - Medical emergency response
    - Property removal procedures
    - Property removal log or other audit items
    - Critical infrastructure site specific identification authentication
    - Vehicle and parking registration procedures
    - Reporting unusual occurrence incidents
    - Post orders for security force members
    - Alarm activation logs maintained
    - Key control and associated documentation
- Explain that participants should consider the following important components when assessing security **technology**:
  - Proper selection
  - Installation

  - Maintenance
- Tell participants that the *Security Inspection and Validation Technology Checklist: Card Access and Alarm* and the *Security Inspection and Validation Technology Checklist: Closed-Circuit Television* are examples of comprehensive technology security inspection and validation checklists.
- Tell participants to ask the questions in the *Security Inspection and Validation Delaying Access Checklist: Perimeter Barriers* to determine the facility's **ability to delay access** to the site.
  - The objective of the physical protection system is to ensure that an adequate response force arrives in time to prevent terrorists from accomplishing their goal.
  - Passive barriers include perimeter fences, gates, and vehicle barriers.
- Tell participants that **security force** probability of interrupting and preventing terrorists from completing their mission is dependent upon the security force and law enforcements' capabilities.
  - In determining their capabilities, the inspection will include a review of the areas associated with the protection capabilities.
  - The questions in the *Security Inspection and Validation Security Force Checklist* can help with this task.
- Tell participants that they may not have access to all the security technologies listed in the security inspection and validation checklist. The items are provided for reference only, and participants should use checklists relevant to the technology available at their critical infrastructure.
- Explain that other checklist items could include weapons qualification standards, special response force requirements, and specialty area training requirements such as the security control center operator.

Slide 28 Limited Scope Performance Testing Purpose
▪ Ensure procedures are being followed as directed ▪ Verify that variances are documented ▪ Confirm that the physical protection system is operating as expected
Graphic Description: No Graphic

- Explain that an important part of conducting the inspection includes conducting performance tests to:
  - Ensure procedures are being followed as directed.
  - Verify that variances are documented.
  - Confirm that the physical protection system is operating as expected.
- Explain that the security inspection and validation team can observe or conduct system performance tests to evaluate all or selected portions of safeguards or security systems as they exist at the time of the test.
- Tell participants that the team documents both the results of the tests and, while observing, any notes on the security force's ability to conduct the tests.

Slide 29 Limited Scope Performance Testing Classes (Workbook 14.3)

- Operability tests
- Performance tests
- Post-maintenance tests
- Whole system and limited scope tests
- Evaluation tests

Graphic Description: No Graphic

- Refer participants to **Addendum 14.3: Limited Scope Performance Testing**.
- Use the addendum to explain the different classes of limited scope performance testing that are shown on the slide.

Slide 30 Limited Scope Performance Testing Results

- Recorded and later analyzed
- Used to assign a rating of the physical protection system

Graphic Description: No Graphic

- Explain that the test results will be:
  - Recorded and analyzed later
  - Summarized in the final inspection phase to determine and assign an overall rating of the physical protection system

Slide 31 Limited Scope Performance Testing Rating System (Workbook 14.3)

- Satisfactory
- Marginal
- Unsatisfactory

Graphic Description: Arrow showing progression from unsatisfactory to satisfactory

- Refer participants to **Workbook 14.3: Limited Scope Performance Testing**.
- Use the addendum to explain each of the three ratings critical infrastructure may receive as shown on the slide.

Slide 32 Phase 3: Close-Out

- Goals:
  - Identify findings and observations
  - Discuss the effect on the critical infrastructure
  - Assign a rating
- Present findings
- Create a report

Graphic Description: Man and women reading over report materials

- Tell participants that Phase 3 of the security inspection and validation program is closing out the inspection.
- Explain that the close-out phase includes accomplishing team goals, presenting findings, and creating a report.
- Tell participants that in this phase the security inspection and validation team has the following primary goals:
  - Identify findings and observations.
  - Discuss the effect of the findings and observations on the critical infrastructure.
  - Assign a rating to the findings and observations.
- Explain that in the close-out phase of the security inspection and validation program, the security inspection and validation team presents findings and observations to the critical infrastructure management team, typically through a formalized briefing.
- Tell participants that this close-out process offers the best opportunity for everyone to be involved in the process and hear the observations and findings presented directly by the security inspection and validation team.
- Tell participants that the security inspection and validation team must prepare a written security inspection and validation report as part of closing out the security inspection and validation program.

Slide 33 Security Inspection and Validation Report (1 of 2) (Workbook 14.4)

- Executive summary
- Introduction
- Security inspection and validation methodology
- System assessment

Graphic Description: No Graphic

Slide 34 Security Inspection and Validation Report (2 of 2) (Workbook 14.4)

- Performance testing requirements
- Recommendations
- Conclusions
- References

Graphic Description: No Graphic

- Explain that next participants will learn about the sections to include in a security inspection and validation report.
- Tell participants that this is only one example of a report type, and they should follow the guidance of their country.
- Refer participants to **Workbook 14.4: Security Inspection and Validation Report.**
- Using the addendum, explain that the security inspection and validation report includes the following sections and information:
  - Executive summary
  - Introduction
  - Security inspection and validation methodology

- System assessment
- Performance testing requirements
- Recommendations
- Conclusions
- References

- Ask participants whether they have questions on the close-out phase of the security inspection and validation or anything else covered thus far.

Slide 35 Threaded Exercise — National Ministries Building Part 7 (1 of 2)

- Purpose: to develop a security inspection and validation checklist for the National Ministries Building
  - Duration: 60 minutes (45-exercise;15-debrief)
  - Group composition: table groups
  - Debrief: large-group discussion

Graphic Description: No Graphic

Slide 36 Threaded Exercise — National Ministries Building Part 7 (2 of 2)

- *No Text*

Graphic Description: Image of the National Ministries Building map and buildings

- Tell participants that now they will apply what they have learned in this module to a continuation of the scenario that began in *Module 5: Critical Infrastructure Components.*
- Refer participants to **Threaded Exercise Part 7 — National Ministries Building** and allow them a few minutes to read the directions.
- Tell participants that each team will create a security inspection and validation checklist that could be used in an evaluation of the National Ministries Building.
- Assign an interpreter to each team as needed.
- Remind participants that an effective security inspection and validation program addresses three phases:
  - Inspection planning
  - Conducting the inspection
  - Close-out
- Provide the following guidance:
  - Discuss what should be accomplished in preparation for conducting the actual inspection.
  - Emphasize that while participants will not actually conduct the inspection during this exercise, they should identify essential action items that need to be completed prior to conducting the inspection.
  - Remind participants that technology include elements of intrusion detection systems (intrusion sensing, alarm communication and display, alarm assessment and entry control) and delay barriers.
- As participants work, facilitators should walk around the room and answer any participant questions.

- Teams should be prepared to discuss their security inspection and validation checklists with the class.
- Allow 45 minutes for teams to create their checklists.
- Allow 15 minutes for debrief discussion.
- Refer to **Threaded Exercise Workbook Part 7 — National Ministries Building Answer Key** for use with the class discussion.
- Ask for one team to share their responses for Phase 1, another team to share their responses from Phase 2, and another team to share their responses for Phase 3; invite other teams to share only responses that have not been presented.

Slide 37 Teachback Moment

- What are elements of the security inspection and validation program?
- What are the three phases of a security inspection and validation program?

Graphic Description: No Graphic

- Conduct a TeachBack moment to assess how well the participants understand the content presented in this section of the module.
- Ask participants: **What are the elements of the security inspection and validation program?**
- Acknowledge responses. *If not provided by participants, add the following:*
  - *Introduction*
  - *Reference list*
  - *Definitions list*
  - *How to conduct the program*
  - *Responsibilities of senior managers*
- Ask participants: **What are the three phases of a security inspection and validation program?**
- Acknowledge responses. *If not provided by participants, add the following:*
  - *Phase 1: Inspection planning*
  - *Phase 2: Conducting inspection*
  - *Phase 3: Close-out*

Topic: Module Summary **10 Minutes**

Slide 38 Module Summary

- Purpose of a security inspection and validation program
- Elements of a security inspection and validation program
- Phases of the security inspection and validation program

Graphic Description: No Graphic

- Summarize the module by reviewing following main points:

- **Purpose of a security inspection and validation program:** to provide management with a means to evaluate the effectiveness of an existing physical protection system.
- **Elements of a security inspection and validation program:** the systematic processes for demonstrating the adequacy and functional reliability of the physical protection system should be recorded in one comprehensive document so all parties concerned understand the purpose of the security inspection and validation program. That document should contain:
  - Introduction
  - Reference list of regulations
  - Definitions list
  - How to conduct security inspection and validation
  - Responsibilities of senior managers during security inspection and validation
- **Phases of the security inspection and validation program:**
  - Phase 1: Inspection planning
  - Phase 2: Conducting the inspection
  - Phase 3: Close-out (which includes generating a security inspection and validation report)

- Ask whether there are any questions about the contents of this module.
- Explain that *Module 15: Operational Resilience* will explore how to apply resiliency strategies for your country after a terrorist attack, natural disaster, or other threat.