

# The Office of Infrastructure Protection

National Protection and Programs Directorate  
Department of Homeland Security

What to Expect from a CFATS Inspection

July 2015



Homeland  
Security

# What Is an Authorization Inspection?

- A CFATS **Authorization Inspection (AI)** is conducted at covered facilities to verify and validate that the content listed in the facility's authorized Site Security Plan (SSP) or Alternative Security Program (ASP) is accurate and complete and that existing and planned equipment, processes, and procedures are appropriate and sufficient to meet the established Risk-Based Performance Standards (RBPS) requirements.



# What Is a Compliance Inspection?

- A **Compliance Inspection (CI)** is conducted as part of the recurring inspection process after a Letter of Approval has been issued to ensure the facility continues to implement its approved security plan. For facilities utilizing the Expedited Approval Program, the CI is also conducted to ensure that security measures in the security plan are not insufficient to meet the RBPS on misrepresentation, omission, or an inadequate description of the site.
- Compliance Inspections are conducted to ensure that both existing and planned security measures identified within the approved SSP or ASP continue to be implemented fully and on schedule; the equipment, processes, and procedures described in the SSP or ASP are appropriate and sufficient to meet the established performance standards; and required corrective actions have been implemented and are sustainable, and/or to discuss other issues that have come up since the Letter of Approval.



# Where Are We in the CFATS Process?

Initiate CFATS Process		Complete Top-Screen		Complete SVA or ASP	
Step 1	Step 2	Step 3	Step 4	Step 5	Step 6
Facility with Chemicals of Interest (COI) at or above the Screening Threshold Quantity (STQ) recognizes the need to submit a Top-Screen and completes CVI training and CSAT user registration.	CFATS Help Desk registers the facility and provides a user ID and password.	Facility completes Top-Screen, identifying chemicals and quantities and providing other relevant information.	DHS reviews Top-Screen information and determines the facility's Preliminary Tier status or determines that facility is not high-risk.	DHS sends facility a Preliminary Tier letter and deadline for completing a Security Vulnerability Assessment (SVA) or an Alternative Security Program (ASP) for Tier 4 facilities, if they choose. If DHS has determined that the facility is not high-risk, the facility is sent a letter releasing it from further regulation.	Covered (high-risk) facility completes an SVA or ASP to provide more detailed information about COI and vulnerability to attack.

SVA/ASP Review		Complete SSP or ASP		Authorization		Inspection & Approval	
Step 7	Step 8	Step 9	Step 10	Step 11	Step 12	Step 11	Step 12
DHS reviews SVA or ASP information provided and determines facility's Final Tier or that facility is not high-risk.	DHS notifies the facility of its final status and tiered facilities are provided deadlines for completing an Site Security Plan (SSP) or ASP.	Facility completes an SSP or ASP detailing site-specific security measures to satisfy applicable Risk-Based Performance Standards.	DHS reviews SSP or ASP and (a) issues authorization letter for SSP or ASP and schedules an inspection or (b) issues notice to resolve deficiencies. Failure to resolve deficiencies may result in disapproval.	DHS conducts authorization inspection, reviews all available information, and either issues a Letter of Approval for the SSP or ASP or issues notice to the facility to resolve deficiencies. Failure to resolve deficiencies may result in disapproval.	If SSP or ASP is approved, DHS conducts compliance inspections on a regular and recurring basis to verify continued compliance with the approved SSP or ASP.		



# Before an Inspection

- When your facility is ready for an Authorization Inspection, it will receive a Letter of Authorization from DHS.
- A Compliance Inspection will be initiated using eight prioritization factors developed by DHS after a facility has received a Letter of Approval.
- An inspector will reach out by phone and/or email to the designated site representative to schedule a date and time for the inspection.
- The inspector will discuss the:
  - Purpose and scope of the visit
  - Expected duration and schedule of the inspection
  - Required facility personnel and resources/documents that should be available during the inspection
  - Chemical-terrorism Vulnerability Information (CVI) considerations
  - Personal protective equipment/safety requirements



# Expediting the Onsite Visit

- In order to expedite the onsite visit, the inspector(s) assigned your inspection will review your entire case file and determine if certain aspects of your security plan can be verified beforehand.
- The inspector(s) may request documentation or conduct phone interviews to verify items such as:
  - Cyber systems and their integration to the security of your Chemicals of Interest (COI)
  - Response plans and outreach with first responders
  - Security Awareness and Training Program
  - Background checks
  - Elevated and specific threat planning
  - Incident reporting and investigations
  - Security organization
  - Recordkeeping



# Preparation for the Inspection Team: Pre-Arrival

- What are examples of items my facility may want to have on hand?
  - Chemical inventory list
  - Site/facility layout
  - CFATS-related documents and correspondence (SSP, SVA, Top-Screen (TS), Notice of Inspection, etc.)
  - Security Standard Operating Procedure (SOP)
  - Crisis Management Plan (or equivalent)
  - Cybersecurity policy and procedures
  - Company hiring policy and procedures
  - Shipping and receiving policy and procedures
  - Training, drill, and exercise records
  - Security system maintenance/calibration records
  - Incidents and breaches of security documentation

**Note: Facilities may choose to have either electronic or hard copies available.**



# What Documents for a Compliance Inspection?

- Specific to a Compliance inspection, a facility should also have on hand:
  - Documentation related to any changes in COI
  - Any revised CFATS-related documentation since approval (revised tiering letters or TS, SVA, SSP/ASP)
  - Documentation demonstrating the completion of planned measures:
    - Policies/procedures
    - Revised schematics
    - Requests for Quotes/Proposal
    - Statements of work
    - Budget approval documentation
    - Installation or maintenance records
  - CFATS SSP/ASP annual audit documentation
  - RBPS 18 records



# Who Should Be Present Onsite or Available During the Inspection?

- Not all personnel need to be present for the entirety of the inspection or available in person, but you should consider whether to include:
  - Submitter/Authorizer/Preparer(s) of the security plan
  - Facility Security Officer and/or Corporate Security Officer
  - Cybersecurity Officer
  - Human Resources representative
  - Facility Manager
  - Facility security representative
  - Operations Manager
  - Shipping and Receiving representative
  - Emergency Response representative
  - Rail Services representative



# Onsite Inspection

- The inspection team will arrive early enough to allow time for security and/or safety briefings and will conduct an in-brief to discuss the purpose of the visit and planned schedule for the inspection.
- The facility's SSP/ASP will be opened at the beginning of the Authorization Inspection so that the facility can update the SSP/ASP with the inspection team onsite and can resubmit to address any inspection findings.
- The facility's SSP/ASP will not be opened during a Compliance Inspection unless the inspection team deems edits necessary.
- During the inspection, there are four distinct methods of collecting information when evaluating a security measure:
  - Direct observation
  - Document review
  - Testing
  - Interviews



# During the Inspection

- Direct Observation:
  - Observing persons, places, operations, or systems allows inspectors to obtain a general picture of the security measures to verify compliance
- Document Review:
  - The inspectors can review all relevant records or documents associated with the facility's compliance with the SSP/ASP
- Testing:
  - Testing encompasses those procedures used to assess the performance of security equipment, processes, or procedures
- Interviews:
  - Inspectors may conduct formal and informal discussions with facility and/or corporate personnel regarding the verification of security measures, policies, and procedures



# Inspection Outbrief

- During the outbrief, the inspection team will:
  - Provide a general overview of the inspection
  - Relay observations, findings, and potential concerns encountered
  - Present observations to clarify any misunderstandings and/or provide clarifying documentation
  - Discuss follow-up actions or next steps with the facility
- If necessary, the inspection team may leave the facility with a “leave behind” document which outlines the inspection findings and options for consideration in resolving any gaps in satisfying the RBPS.



# Post-Authorization Inspection

- The facility's security plan will remain open for 30 days from the start of the inspection to permit the facility to make any changes discussed during the inspection.
- After review of the updated SSP/ASP and the inspection team's report, DHS will take one of the following actions:
  - If all information and analysis indicates that the SSP meets the requirements of CFATS, DHS will approve your facility's SSP and issue a Letter of Approval to the facility. Please be aware the facility will be subject to future compliance inspections after receipt of the Letter of Approval.
  - In the event that a review of the inspection data or other information indicates that the SSP fails to meet the requirements of CFATS, DHS will notify the facility of the deficiencies in the SSP. The facility must then resubmit a sufficient SSP addressing those deficiencies by a specified date. If the facility fails to address the deficiencies, DHS may disapprove the facility's security plan.



# Post-Compliance Inspection

- After review of the inspection team's report, DHS will determine if the facility remains in compliance with their approved SSP/ASP.
- If the facility remains in compliance, DHS will issue the facility a "Post-Compliance Inspection Status" Letter, notifying the facility of their continued compliance.
- If the facility is found not to be in compliance, this may trigger potential enforcement action.
- If an enforcement action is taken, the facility will receive an administrative order requiring them to come into compliance with the approved SSP and applicable RBPS.



# Resources

- To familiarize staff with the CFATS compliance process and requirements, we recommend the following resources:
  - DHS Chemical Security Website: <http://www.dhs.gov/critical-infrastructure-chemical-security>
  - Risk Based Performance Standards (RBPS) document: <http://www.dhs.gov/publication/cfats-rbps-guidance>
  - DHS Web-based Security Awareness Training Website: <http://www.dhs.gov/chemical-sector-training>
  - Chemical-terrorism Vulnerability Information (CVI) Training: <http://www.dhs.gov/cvi-authorized-user-training>
  - DHS Cyber Resource: <https://ics-cert.us-cert.gov/>
  - National Terrorism Advisory System (NTAS): <http://www.dhs.gov/national-terrorism-advisory-system>





# Homeland Security

For more information, visit:  
[www.dhs.gov/critical-infrastructure](http://www.dhs.gov/critical-infrastructure)

CFATS Knowledge Center

866-323-2957

<http://csat-help.dhs.gov>