**Subject:** Sample Records for RBPS 18-Records

*Please refer to the RBPS 18-Records Fact Sheet for an overall summary of how to comply with RBPS 18.*

DHS has identified best practices amongst industry in developing and maintaining the records facilities must maintain as defined by Risk-Based Performance Standards (RBPS) 18. These best practices were used to create sample records, which may assist a facility in the preparation and maintenance of records under RBPS 18.

The sample records are voluntary tools to help facilities comply with RBPS 18, and if used, can be tailored to your specific facility and needs. These sample documents, such as a sample record of training delivered, may be found on the [CFATS Knowledge Center](http://csat-help.dhs.gov) [csat-help.dhs.gov](http://csat-help.dhs.gov)

All information contained within these samples are fictional and therefore are not actual Chemical-terrorism Vulnerability Information (CVI). This document does not contain any Chemical-terrorism Vulnerability Information (CVI).

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[Sample Record of Breaches of Security](#Sample1)

[Sample Record of Drills and Exercises](#Sample2)

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[Sample Record of Training Delivered](#Sample6)

| **Date and Time** | **Location of Incident/Breach** |
| --- | --- |
| July 5th, 2016, 9:00 AM | Facility COI warehouse loading dock |
| **Reported By** | **Reported To** |
| Bill Jones (staff) | Garnet Thatcher (AFSO) |
| **Description of Incident** | |
| Unknown individual (male) spotted outside near facility COI warehouse loading dock. This individual was armed with a handgun. | |
| **Description of Response** | |
| Bill Jones (staff) noticed the individual while driving a forklift inside the warehouse. Mr. Jones promptly notified Garnet Thatcher (AFSO) over the facility’s walkie-talkie system. Ms. Thatcher notified the facility’s on-site security force. On-site security monitored the man’s movement outside the facility via the facility’s CCTV. Since the on-site security force is unarmed, CFATS Towne Police Department was notified. Local law enforcement arrived within minutes and confronted the man. The man was clearly intoxicated but cooperated with law enforcement. He turned over his firearm without incident and was arrested and charged with carrying a firearm without a permit and trespassing. He was taken away by law enforcement. | |
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|  | |

| **Date/ Description** | **Equipment** |
| --- | --- |
| July 5th, 2016 / Unknown Individual Perimeter Breach | Locks, Chains, CCTV, & Perimeter Security |
| **Exercise Instructor** | **Instructor Qualifications** |
| Bob Kearns (Contractor) | Former Physical Security Officer, US Army |

| **Participants** |
| --- |
| Bill Jones (Staff) |
| Garnet Thatcher (AFSO) |
| Eric Turner (Security guard) |
| Samir Nagheenanajar (Security guard) |
| Brian Griffin (FSO) |
| Joe Harrington (Staff) |
| Edna Stevenson (Administrative support) |
| John Evans (Contractor) |
| Jeff Mendoza (Contractor) |
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| **Lessons Learned** |
| --- |
| Perimeter security had been upgraded since the breach of security involving the armed individual. However, once the perimeter has been breached, a bad actor has relatively easy access to the keys which open the locks that secure the COI. Recommendation: Lock the keys to the COI storage area in a secure lock box and limit access to lock box keys to authorized individuals. |

| **Date/ Time** | **Equipment** |
| --- | --- |
| July 5th, 2016, 10:00 am | Automatic perimeter gate & CCTV |
| **Technician** | **Technician’s Qualifications** |
| Vince Neil | Certified technician for Skill Imaging & Electrical, Inc.; IBEW member |

| **Additional Detail** |
| --- |
| Calibration and testing contract maintained between the facility and Skill Imaging & Electrical, Inc. Calibration and testing performed on an annual basis. This included testing of CCTV and perimeter gate and calibration of CCTV at Northwest corner. |

| **Date and Time** | **Threat Communicated** (indicate one) |
| --- | --- |
| July 5th, 2016 9:00 AM | Telephone **X**\_\_\_\_\_\_\_\_\_\_\_\_\_\_Written  Verbal\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Other |
| **Received By** | **Reported To** |
| Local Law Enforcement | Brian Griffin (FSO) |
| **Threat Description** | |
| Local law enforcement notified the facility of two local and recent thefts of ammonium nitrate. | |
| **Threat Response** | |
| Facility now conducts inventories of ammonium nitrate at the beginning and end of each shift. Any discrepancies are noted to facility personnel, local law enforcement, and the Department of Homeland Security. | |
|  | |

| **CFATS SSP/ASP ANNUAL AUDIT REQUIREMENT - 6 CFR 27.225(e)** | | | | | |
| --- | --- | --- | --- | --- | --- |
| **Facility Name**  Fake Facility | | | | | |
| **CSAT Facility ID Number**  123456789 | | **Location**  CFATS Towne, AL | | | |
| **Subject**  ASP Annual Audit | **Verified** | | | | **Comments**  None |
| **Yes** | | **No** | |
|  | | | | | |
| Verification of CSAT Submitter, Authorizer, Preparer and Reviewers | X | |  | | Updated Preparer role in CSAT |
| Verification of COI, Quantities, Concentrations, and Packaging | X | |  | |  |
| Verification of Current Top Screen | X | |  | |  |
| Verification of Current SVA/ASP | X | |  | |  |
| Verification of Approved SSP/ASP | X | |  | |  |
| RBPS 1 - Restrict Area Perimeter | X | |  | |  |
| RBPS 2 - Secure Site Assets | X | |  | | Completed planned measure for asset IDS April 1, 2016 – monitored by ABC Security |
| RBPS 3 - Screen and Control Access | X | |  | |  |
| RBPS 4 - Deter, Detect, Delay | X | |  | |  |
| RBPS 5 - Shipping, Receipt and Storage | X | |  | | New customer (ZYX Fertilizer) added for Ammonium nitrate December 12, 2015 |
| RBPS 6 - Theft or Diversion | X | |  | |  |
| RBPS 7 - Sabotage | N/A | |  | |  |
| RBPS 8 - Cyber | X | |  | |  |
| RBPS 9 - Response | X | |  | | Latest LLE outreach February 4, 2016 |
| RBPS 10 - Monitoring | X | |  | |  |
| RBPS 11 - Training | X | |  | |  |
| RBPS 12 - Personnel Surety | X | |  | | Five new hires which required background checks |
| RBPS 13 - Elevated Threats | X | |  | |  |
| RBPS 14 - Specific Threats, Vulnerabilities, or Risks | X | |  | |  |
| RBPS 15 - Reporting of Significant Security Incidents | X | |  | |  |
| RBPS 16 - Significant Security Incidents and Suspicious Activities | X | |  | |  |
| RBPS 17 - Officials and Organization | X | |  | |  |
| RBPS 18 - Records | X | |  | |  |
| Prior Inspections and Audits on file and accurate - Dates verified | X | |  | | July 1, 2015 audit on file |
| Recordkeeping Requirements reviewed | X | |  | |  |
| CVI - Reviewed, accurate and storage location(s) validated | X | |  | |  |
| Facility Personnel CVI Certificates on file | X | |  | |  |
|  | | | | | |
| **Facility Representative Conducting Audit** | | | | | |
| **Name**  Brian Griffin | | | | **Title**  Facility Security Officer | |
| **Signature**  Brian Griffin | | | | **Date**  July 5th, 2016 | |

**Training Class Description Security:** Basic Concepts ofSecurity Awareness and Recognizing Suspicious Activity\*

| **Title** | | **Instructor** | | **Qualification** | |
| --- | --- | --- | --- | --- | --- |
| Security Awareness & Recognizing Suspicious Activity Training | | John McBain | | Assistant Police Chief, CFATS Towne, PD | |
| **Date** | **Location** | | **Start time** | | **Duration** |
| July 5th, 2016 | Fake Facility; CFATS Towne, AL | | 12:00pm | | Two hours |

| **Employee name** | **Employee Number** | **Signature** | **Results[[1]](#footnote-1)** |
| --- | --- | --- | --- |
| Bill Jones | 036 | Bill Jones | Pass |
| Garnet Thatcher | 037 | Garnet Thatcher | Pass |
| Eric Turner | 038 | Eric Turner | Pass |
| Samir Nagheenanajar | 039 | Samir Nagheenanajar | Pass |
| Brain Griffin | 040 | Brain Griffin | Pass |
| Joe Harrington | 041 | Joe Harrington | Pass |
| Edna Stevenson | 042 | Edna Stevenson | Pass |
| John Evans | 043 | John Evans | Pass |
| Jeff Mendoza | 044 | Jeff Mendoza | Pass |

1. Pass/Fail or Test Score, where applicable [↑](#footnote-ref-1)