

CPNI

Centre for the Protection
of National Infrastructure

SCA FOR

PLANNING, DESIGN, MANUFACTURE AND CONSTRUCTION OF NEW ASSETS (INCLUDING BUILDINGS AND INFRASTRUCTURE)



MANAGING THE SCA PROCESS

A SCA should be undertaken when planning, designing, manufacturing and constructing new assets, whether a building or infrastructure. The asset owner(s) should therefore ensure that processes are in place, and implemented, to initiate the SCA process at the start of the project.

These processes should include the nomination of a suitable individual who will be responsible for initiating and managing the associated SCA process. The individual fulfilling this role should be employed by, or report directly to, the asset owner's organisation.

The individual responsible for initiating and managing the SCA process on behalf of the commissioning organisation should ensure that an appropriately qualified and experienced specialist or small team of two or more specialists is appointed to undertake a SCA (see 'Undertaking a Security Considerations Assessment').

It is important that sufficient notice of when a SCA will be required is given, with each of the relevant parties agreeing a timeframe for completion.



THE SCA STAGES

The timing of the different SCA stages relative to the work stages within an activity involving the design, manufacture and construction of new assets is set out in Table 1 below.

Work stage definitions		SCA Stage
RIBA 2020	Association for Project Management	
0 Strategic definition	0 Strategy	Stage 1
1 Preparation and briefing	1 Brief	Potential additional SCA – procurement of consultants
2 Concept design	2 Concept	
3 Spatial coordination	3 Definition	
4 Technical design	4 Design	Stage 2
5 Manufacturing and construction	5 Build and commission	Potential additional SCA – procurement of contractors
6 Handover	6 Handover and closeout	Stage 3
7 Use	7 Operation and end of life	Stage 4

Table 1. The timing of the different SCA stages relative to the work stages of a construction project.

A Stage 1 SCA facilitates embedding of security-mindedness from the planning stages of the project when access to project information and potential sensitivities is limited to a relatively small group of individuals.

A Stage 2 SCA provides an opportunity for any security issues to be reviewed and, where necessary, re-evaluated before the project moves from planning to delivery.

A Stage 3 SCA provides an opportunity for any security issues to be reviewed at the end of the project.

A Stage 4 SCA allows the ongoing implementation of the security-minded approach to be reviewed and relevant improvements to be adopted.

Additional SCAs can be included as part of the procurement process for consultants or contractors or for the procurement of specialist contractors supplying, or with access to, sensitive assets.

Interim SCAs can be undertaken if there is concern or awareness that the nature of the threats or vulnerabilities has altered since the last SCA was undertaken. Under these circumstances, the list of documentation that would be provided for the next SCA stage due should be provided.

STAGE 1 SCA

Timing

As a minimum, a Stage 1 SCA should be undertaken prior to a planning application for the design, manufacture and construction of a new asset(s) being made.

Ideally, it should be concluded when only those involved in the strategic definition of the built asset are privy to information. This may include specialist security advisers providing guidance in respect of relevant security threats, vulnerabilities and/or mitigations.

Scope

The Stage 1 SCA should:

1. list the information provided and record the information that is not available, noting the reason for this where provided;
2. review the security risk assessment documentation to identify any potential weaknesses in the process, in particular:
 - a. any threats, vulnerabilities or risks which it would be appropriate and proportionate to include; and
 - b. whether the documentation provides a robust record of the risk assessment process and outcome;
3. consider how security risk mitigation measures are reflected in policies, processes and planning of the new built asset;
4. identify and detail any gaps and inconsistencies within, and between, the documentation, policies and processes provided;
5. assess how policies and processes are being conveyed to those who need to follow them; and
6. for points 2 to 5 above, provide a summary of all the issues identified and set out appropriate and proportionate recommendations for addressing each issue.

Documentation required

The portfolio of information provided should include:

1. a summary of the project being undertaken, including, where known, initial plans for location, layout, occupation, utilisation and accessibility to members of the public;
2. a summary of any sensitive neighbouring built assets;
3. details of any aspects of the built asset considered to be sensitive;
4. security risk assessment and mitigation documentation;
5. details of the security-related policies and processes for the implementation of security-related risk mitigation measures;
6. the policies and processes in place for identifying, and responding to, security breaches and incidents, including near misses; and
7. the policies and processes in place for monitoring, auditing, reviewing and updating all security risk management processes.

STAGE 2 – 4 SCA

Timing

The Stage 2 SCA should be undertaken when the detailed design/planning of the project has been completed, and prior to the start of construction.

The Stage 3 SCA should be undertaken on completion of construction.

A Stage 4 SCA should be undertaken 12 months after the Stage 3 SCA and then at regular intervals thereafter, at a frequency considered appropriate by the commissioning organisation.

Scope

The Stage 2, 3 and 4 SCAs should:

1. re-examine the previously identified and assessed security risks to determine whether there have been any changes, whether for political, economic, social, technological, legal or environmental reasons;
2. review the effectiveness of the security measures implemented to date with an examination of any security breaches or incidents, including near misses;
3. examine the consistency of implementation of security mitigation measures;
4. review security-related monitoring and auditing activities undertaken;
5. review the issues raised in the previous report and reiterate any that have not been satisfactorily resolved and are still believed to be of importance.

Documentation required

The portfolio of information provided for each SCA stage should include, in addition to the documentation provided in the previous SCA:

1. the previous SCA and SCA response reports;
2. a summary of any significant changes to the project since the previous SCA that could impact on security requirements, including occupation, utilisation or accessibility to members of the public;
3. details of any changes to:
 - a. those aspects of the built asset considered to be sensitive;
 - b. security risk assessment and mitigation documentation;
 - c. policies and processes for the implementation of security-related risk mitigation measures;
 - d. policies and processes for responding to security breaches and incidents;
4. details of any occurrences of security incidents and/or breaches and the actions taken at the time of, and subsequent to, the breach or incident; and
5. copies of reports from security-related monitoring and auditing undertaken.

ADDITIONAL SCAS – PROCUREMENT OF CONSULTANTS AND/OR CONTRACTORS

Timing

The first stage of this additional SCA should be undertaken prior to the issue of any tender for consultants or contractors to support the project in question. The second stage should form part of the selection and final appointment process.

Scope

Prior to the issue of tender documentation, the additional SCA should review the security requirements set out in the tender documentation against the agreed security risk mitigation measures.

During the selection and appointment process, the additional SCA should:

1. assess the completeness of the submission documentation that relates to the security requirements;
2. identify and detail any issues that have not been addressed or appear to have been addressed insufficiently;
3. assess the consultant's or contractor's ability to deliver the relevant security mitigation measures and the extent of any support needed to enable them to fulfil the security requirements; and
4. provide a high-level assessment of the consultant's or contractor's organisational readiness to implement the required security measures.

Documentation required

The portfolio of information provided should include:

1. the tender documentation; and
2. the parts of the submission documentation that relate to the security requirements set out in the tender information.





You may use or reuse this content without prior permission but must adhere to and accept the terms of the Open Government Licence for public sector information. You must acknowledge CPNI the source of the content and include a link to the Open Government Licence wherever possible. Authorisation to reproduce a third party's copyright material must be obtained from the copyright holders concerned.

Disclaimer

This guide has been prepared by CPNI and is intended to assist in undertaking a Security Considerations Assessment. This document is provided on an information basis only, and whilst CPNI has used all reasonable care in producing it, CPNI provides no warranty as to its accuracy or completeness.

To the fullest extent permitted by law, CPNI accepts no liability whatsoever for any expense, liability, loss, damage, claim or proceedings incurred or arising as a result of any error or omission in the report or arising from any person acting, refraining from acting, relying upon or otherwise using the document. You should make your own judgment with regard to the use of this document and seek independent professional advice on your particular circumstances.