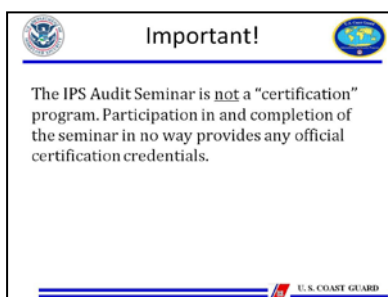
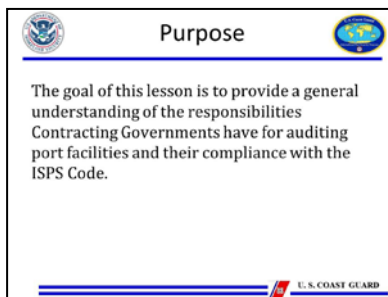


LESSON 1

AUDITING RESPONSIBILITIES OF THE CONTRACTING GOVERNMENT



Introduction

References

International Ship and Port Facility Security Code, 2003 Edition

- Part A, Sections 4.4 and 16.3.13
- Part B, Sections 16.3.5 and 16.58

Guide to Maritime Security and the ISPS Code, 2012 Edition

- Sections 2.17.11 through 2.17.1

Instructor Introduction

Instructor will introduce themselves to students.

Overview

The goal of this lesson is to provide a general understanding of the responsibilities Contracting Governments have for auditing port facilities and their compliance with the International Ship and Port Facility (ISPS) Security Code.

Lesson Objectives

The IPS Audit Seminar is not a "certification" program. Participation in and completion of the seminar in no way provides any official certification credentials.


After completing this lesson, students will be able to:

- **IDENTIFY** the specific responsibilities that the Contracting Government has with regard to auditing port facility security plans (PFSPs).
- **IDENTIFY** the procedures to review, amend, or update an approved PFSP.
- **DESCRIBE** the requirements to review, amend, or update an approved PFSP.
- **DESCRIBE** the difference between an audit and an assessment at a Port Facility.

Responsibilities of the Contracting Government

Audits


An AUDIT of port security is a:
systematic, independent, and documented process...



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Audits


for obtaining records, statements of fact, or other information...
(such as observations of security measures)



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Audits

and evaluating if they fulfill a set of policies, procedures, or requirements.
(such as the PFSP)



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Responsibilities of the Contracting Government

The basis for any port facility security audit is the port facility security plan (PFSP).

According to the ISPS Code, Contracting Governments have specific responsibilities related to auditing the PFSP.

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Responsibilities of the Contracting Government

The ISPS Code states that:
"Contracting Governments shall, to the extent they consider appropriate, test the effectiveness of ship security plans or the port facility security plans, or of amendments to such plans, they have approved...."
(ISPS Code Part A, Section 4.4)

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Topics

An audit of port security is a:

- *systematic, independent, and documented process...*
- *for obtaining records, statements of fact, or other information...*
(such as observations of security measures)
- *and evaluating if they fulfill a set of policies, procedures, or requirements.*
(such as the PFSP)


The basis for any port facility security audit is the PFSP. According to the ISPS Code, Contracting Governments have specific responsibilities related to auditing the PFSP.

The ISPS Code states that:

"Contracting Governments shall, to the extent they consider appropriate, test the effectiveness of ship security plans or the port facility security plans, or of amendments to such plans, they have approved...." (ISPS Code Part A, Section 4.4)

Responsibilities of the Contracting Government

Testing the effectiveness of security plans includes conducting an audit of the PFSP and the security measures outlined in the plan.




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Testing the effectiveness of security plans includes conducting an audit of the PFSP and the security measures outlined in the plan.

Responsibilities of the Contracting Government

The Code specifically states that the PFSP shall address procedures for auditing.

(ISPS Code, Part A, Section 16.3.13)




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The ISPS Code specifically states that the PFSP shall address procedures for auditing. (ISPS Code, Part A, Section 16.3.13)

Responsibilities of the Contracting Government

Since the PFSP is the guiding security document for a facility's security measures, the PFSO must be responsible for facilitating a review or audit of the plan.




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Since the PFSP is the guiding security document for port facilities' security measures, the PFSO must be responsible for facilitating a review or audit of the plan.

Responsibilities of the Contracting Government

The PFSP should establish how the PFSO intends to audit the continued effectiveness of the PFSP and the procedures to follow to review, update or amend the PFSP. (Part B, Section 16.58)




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The PFSP should establish how the PFSO intends to audit the continued effectiveness of the PFSP and the procedures to follow to review, update or amend the PFSP. (Part B, Section 16.58)

Responsibilities of the Contracting Government

It is important to note the difference between the Contracting Government's responsibility to conduct a port facility security **audit** and their responsibility to conduct an **assessment**.




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It is important to note the difference between the Contracting Government's responsibility to conduct a port facility security audit and their responsibility to conduct an assessment.

Responsibilities of the Contracting Government

When conducting a port facility security assessment (PFSA), the main focus is on identifying threats, vulnerabilities and consequences, all of which are incorporated into the PFSP.



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When conducting a Port Facility Security Assessment (PFSA), the focus is on identifying threats, vulnerabilities and consequences. The mitigation of threats, vulnerabilities, and consequences identified are the basis for the PFSP.

Responsibilities of the Contracting Government

Port facility security audits help to determine if the PFSP is adequately addressing those critical areas, if the PFSP addresses all appropriate requirements of the ISPS Code, and if procedures outlined in the PFSP are in practice.

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Port facility security audits help to determine if the PFSP is adequately addressing those critical areas, if the PFSP addresses all appropriate requirements of the ISPS Code, and if procedures outlined in the PFSP are in practice.

Responsibilities of the Contracting Government

A Contracting Governments' responsibility for auditing the security of port facilities is directly related to compliance with the ISPS Code and ensuring the effectiveness of PFSPs.

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A Contracting Government's responsibility for auditing the security of port facilities is directly related to compliance with the ISPS Code and ensuring the effectiveness of PFSPs.

Lesson Summary

Performance Assessment


Students' answers to diagnostic questions during the lesson will be used to ensure student understanding or indicate a need for further instruction on the lesson material.

Summary

What are the main points that you will take away from our discussion today regarding the Contracting Government's responsibility when it comes to auditing PFSPs?

Summary

What are the main points that you will take away from our discussion today regarding the Contracting Government's responsibility when it comes to auditing PFSPs?




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Summary

The ISPS Code list specific Contracting Government responsibilities related to auditing the PFSP.

ISPS Code Part A
Sections 4.4 and 16.3.13



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Summary

There is a difference between the Contracting Government's responsibility to conduct a port facility security audit and their responsibility to conduct a Port Facility Security Assessment.

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Summary

Audits help to determine if the PFSP addresses vulnerable areas identified in the PFSA and if procedures outlined in the PFSP are being followed.



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The ISPS Code list specific Contracting Government responsibilities related to auditing the PFSP. (ISPS Code Part A, Sections 4.4 and 16.3.13)

There is a difference between the Contracting Government's responsibility to conduct a port facility security audit and their responsibility to conduct an assessment.

Audits help to determine if the PFSP addresses vulnerable areas identified in the PFSA and if procedures outlined in the PFSP are being followed.

**Student
Homework**

Review the Student Guide pages for this lesson. Refer students to the ISPS Code, 2003 Edition, Part A, Sections 4.4 and 16.3.13 and Part B, Sections 16.3.5 and 16.58.

**Transition to
Next Lesson**

In this lesson, Auditing Responsibilities of the Contracting Government, discussion surrounding these responsibilities for port security have formed a basis for further exploration of the procedures that help Contracting Governments ensure that all requirements are met. In the next lesson, we will examine types of audits, why they are important and how often PFSPs should be audited.
