



BOOK OF MARITIME SECURITY DRILLS

D1 – ACCESS CONTROL

PART 1

GUIDELINES FOR THE PLANNING AND CONDUCT OF MARITIME SECURITY DRILLS



Contents

| Paragraph | | Page |
|-----------|---|-------|
| 1 | Introduction | 1 |
| 2 | Aim | 1 |
| | Planning | 1 |
| 3 | Schedule | 1 |
| 4 | Planning process | 1 |
| 4a | Specify the objectives | 1 |
| 4a(1) | Aims and objectives | 1 |
| 4a(2) | It's a game! | 2 |
| 4a(3) | Performance Indicators | 2 |
| 4b | Select the type of drill | 3 |
| 4c | Form the control team | 4 |
| 4d | Draft the scenario | 5 |
| 4e | Draft the injects | 5 |
| 4f | Termination | 5 |
| 5 | Communications | 6 |
| 6 | Resources | 6 |
| 7 | Budget | 6 |
| 8 | Safety | 7 |
| 9 | Endorsement | 7 |
| | Conduct the drill | 7 |
| 10 | Briefing | 7 |
| 11 | Conduct | 8 |
| 12 | Performance Indicators | 8 |
| 13 | Debrief | 9 |
| 15 | Reports | 9 |
| 17 | Records | 10 |
| | Appendix 1 – Time table for Planning | 1-1 |
| | Appendix 2 – Responsibilities and tasks of controllers | 2-1 |
| | Appendix 3 – Example of Master Event List | 3-1/2 |
| | Appendix 4 – Roles and Functions of a Drills Safety Officer | 4-1 |
| | Appendix 5 – Example of a Drills and Exercise Records Book | 5-1 |



INTRODUCTION

1. Drills are managed events involving procedures and personnel in the practice of specific activities with the objective of meeting a particular operating requirement. Drills are generally limited in scope to specific procedures. They are conducted frequently to maintain or improve proficiency and are usually conducted within the organization, in this case the Port Facility. Being relatively simple to execute, they do not require extensive management.

AIM

2. The primary objectives in conducting maritime security drills are to practice the skills, test the equipment and validate the procedures relating to the detection and deterrence of maritime security threats. Drills are targeted at the operative level of a Port Facility's organization and developing personnel to maintain a high level of readiness against maritime security threats.

PLANNING

3. **Schedule**

a. The first item in planning is the schedule for the drills. Drills "should be conducted at least every three months". Therefore, it is convenient to schedule the drill in the overall annual work or project management plan for the Port Facility. A time-table for each drill during the year should then be drawn up, with planning commencing about a month before the conduct of the drill.

For example

A time-table for the drill will contain the duration to/from the conduct of the drill, the calendar date, the activity, and any other notations or remarks. An example of a time-table is given in [Appendix 1](#).

b. If the local authority schedules and conducts maritime security exercises on an annual basis and involves Port Facilities in these exercises, consider scheduling a drill to coincide with the exercise to add realism and to leverage on the resources that may be committed by the local authority.

4. **Planning Process**

a. Specify the objectives of the drill

(1) **Aim and Objectives.** The first task is to determine what the aim(s) and objectives of the drill(s) are. It is useful to describe general and specific objectives so as to be very clear on what is to be achieved by the drill. Inputs for the objectives may be obtained from:



(a) Port Facility Security Plan: Reference to the Port Facility Security Plan will provide the basis on which to build the objectives for a specific drill or series of drills. This is because all drills should be targeted at exercising some aspects of the Plan.

(b) Lessons Learnt: There is usually the need to assess the effectiveness of measures taken in response to findings from the outcome of drills conducted previously. These will form one basis for the formulation of objectives for the next drill.

For example

The general objective of the drill is to test the effectiveness of the screening measures for personal belongings brought into the Port Facility.

The specific objectives may be stated as follows:

- To examine the flow of bags, etc through the security screening facility
- To prevent the passage of contraband into the port facility through the security screening station
- To practice security personnel in apprehending and detaining suspicious persons.

(2) Treat it as a game: While it is acknowledged that maritime security is a serious business, the learning objective in drills is to derive maximum benefit from the training opportunity they afford. Pedagogically, the game element, when introduced into drills, can enhance the learning experience. Treating the drill as a game in the planning stage also provides scope for un-tested or unforeseen aspects of the Port Facility's security arrangements to be drawn out. One approach to formulating objectives for security drills is to treat, rather than a routine. With Maritime Security drills, the game aspect is relatively easy to imagine and implement, and any "cops-and-robbers" or "Counter-Strike" type scenario can inject interest and excitement.

(3) Performance indicators: Where appropriate, performance indicators or required attainments may be set for the drill. This will facilitate the assessment of successful outcomes at the conduct of the drill, and focus the rest of the process on the desired outcomes for the specific drill. Where objective measures of performance is not possible or appropriate, one might subjectively assess the extent of compliance in security staff actions against existing security instructions. This will lead to a "compliance benchmark" being established over time, with 100% compliance meaning the security instructions were fully complied with during the drill.



For example

The required attainments for this drill are as follows:

- To perform 100% scrutiny of all personal belongings entering the Port Facility
- To detect the simulated contraband item(s).
- To attain a not more than 10% increase in the duration for screening of personal belongings.

b. Select the type of drill

(1) The next item in the planning agenda is to identify the type of drill to be conducted. The following factors may guide the selection of the type of drill for a particular quarter:

- (a) A masterplan for a series of drills with the same (or similar) theme that may be of progressively increasing:
 - i. complexity in scenario
 - ii. threat level
 - iii. level of participation

For example

It may be decided that an anti-intrusion drill is to take place. This may be the second drill in a series of progressively more complex anti-intrusion drills

- (b) A specific type of threat that is of current interest

For example

Stowaways may have been headline news in the local press recently, and it may be deemed opportune to practice personnel screening arrangements at the port facility.

- (c) Recently identified weakness or lapses in security

For example

The local police may have recently seized contraband goods that are reputed to have passed through port facilities in the immediate area. The drill can focus on materials scanning to reinforce the security concerns.

- (d) Revision and testing of lessons learnt from the previous drill

For example

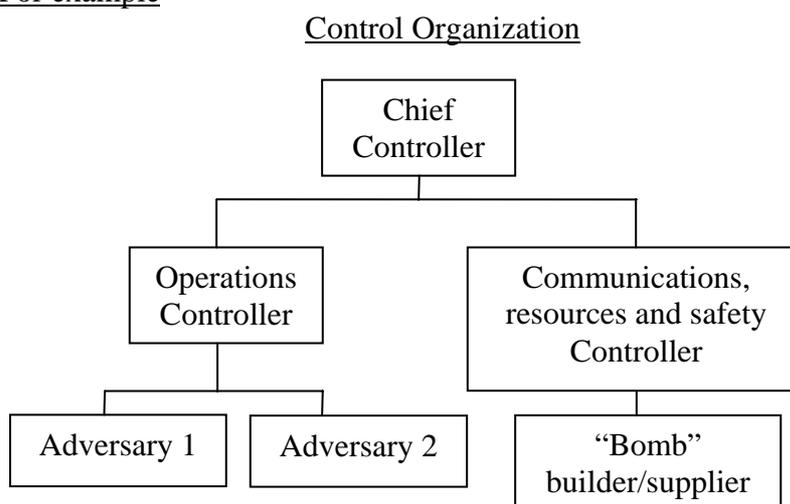
In the previous drill, it was determined that a security procedure was deficient, and that some equipment, and a minor change in procedure would rectify this. With the equipment now acquired, it is opportune to test the new procedure and equipment.

(2) Drills may be selected from the menu provided in Parts 2 of the Books of Maritime Security Drills in Volume 1 of the APEC Manual.

c. Form the “control team”

(1) Every drill, simple or complex, must have someone take charge of the events and be responsible for the outcomes. Simple drills may be managed by one individual, but the individual will require assistance to provide the “threat”. More complex drills may require a fairly large team to manage the different aspects of the scenario and injects. These persons are all part of the “control team” or “controllers”. The person managing the scenario is the Chief Controller. The persons providing inputs for the participants to react to (e.g. by acting as the “threat”) are known as “Lower Controllers”. In large organizations with several tiers in the hierarchy, Lower Controllers may be the subordinates of participants. These employees may form part of the Control Team and are cued to provide the inputs for the participants’ action(s). “Participants” or “players”, who are the subject of the drill, are generally personnel performing their normal employment task, such as security guards. As all Port Facilities need to conduct the drills, it may be possible for “counterpart” Port Facilities to assist each other by providing their staff as controllers. Other sources of “adversary” personnel may be suppliers and contractors with business interests at the Port Facility.

For example



This example is for a relatively complex drill. Drills may be conducted with far fewer resources, even just the principal controller assisted by one simulated adversary. Examples of the responsibilities and tasks of the controllers are given in [Appendix 2](#).



(2) Briefing – The planning and control team must be briefed on the aim and objectives of the drill so that they may contribute effectively to the planning process that follows.

d. Draft the scenario

A credible “cops-and-robbers” tale lends realism and a sense of excitement to the drill. The storyboard will set the scene and focus all participants on the events as they unfold.

For example

Intelligence passed on by the local authorities suggests that there may be the threat of a bomb being brought into a port facility by a vendor or contractor servicing the facility. Further details such as the type of vehicle being used or the suspicious person may be included.

e. Draft the Injects

The Master Events List is a list of events associated with the scenario that, when initiated in turn, may reasonably be expected to elicit a response from the participants that will generate a specific outcome or learning point. Thus, they will be based on the Drill Objectives. The Injects may be time-based or event-based, i.e. the next event on the list will be initiated by a specific assigned time, or by the occurrence of a particular event e.g. the reaction of a participant. The Injects list may be managed by the principal controller as if directing a movie. The Master Events List should not be regarded as being cast in stone. Where required, especially during the conduct of the drill when response with merit from participants differ from expected actions, follow-on injects may be modified in order to meet the objectives set.

For example

A Master Events List is a table usually incorporating columns for the time, event number, details of the event, anticipated response from the participants, and any special notes. An example of a Master Events List is given in [Appendix 3](#).

f. Termination

The plan must include instructions for the actions and activities relating to the end of the drill.

For example

- Assembly or re-deployment of personnel.
- Return, accounting or disposal of materials and equipment.
- Restoration and making-good of property.



5. Communications

a. Plan the communications needs and channels that will be employed during the drill. Controllers will require an independent means of communications among themselves. The established communications means and channels should be employed by the participants, unless a new communications arrangement is being tested during the drill. These communications means should be checked and verified prior to the conduct of the drill.

For example

Controllers may use their personal mobile phones to communicate, or in some cases where quick reactions are expected, walkie-talkies may be required. These should operate on a different circuit from those used by security staff.

b. Codewords should be generated and made known to all participants. Codewords provide brevity and clarity in effective communications and understanding.

For example

| | | |
|----------------|---|--|
| Drill Commence | : | The drill is to start |
| Drill Suspend | : | The drill is temporarily suspended |
| Drill Go | : | The drill is to resume from where it was suspended |
| Drill Stop | : | The drill is to be terminated (prematurely) |
| Drill End | : | The drill is completed |

6. Resources

Plan the resources that are needed for the drill. The scenario will also dictate the resources to be employed for the drill. These will include equipment and materials, as well as on-site refreshments and even meals if the drill duration requires it.

For example

If an “adversary” controller is expected to bring a simulated bomb into the Port Facility in a van, the vehicle must be provided, and a simulated “bomb” has to be constructed that will pass muster as such in screening devices.

7. Budget

Some expenditure may be expected for the conduct of drills. These may include outsourcing of the conduct to a Recognised Security Organisation. Considerations for Drills should therefore be included in the annual exercise budget of the Port Facility.



8. **Safety**

a. Have an independent body oversees the safety aspects of the drill. He should consider the scenario, the Master Events List and all equipment to be used in his safety review for safe conduct of the drill. All drill activities involve a measure of risk – the risk of choking when having a meal does not mean that one should forgo meals. When all reasonable safety precautions have been observed, unforeseen accidents that may occur should not be occasions for the laying of blame, rather for valuable lessons to be drawn.

For example

In the excitement of the drill, enthusiasm can get the better of some personnel. A special advisory may be promulgated to warn participants against mistreatment of simulated “adversaries” when caught. Participants should be reminded of the local laws, rules and regulations pertaining to citizens’ authority, rights and liabilities.

b. The roles and functions of a drills safety officer are given in **Appendix 4**.

ENDORSEMENT

9. If the management so desires, approval should be sought at this stage for the conduct of the drill, elaborating on the details from the planning process outlined above, including the budgetary and other resource requirements.

CONDUCT THE DRILL

10. **Briefing**

a. The “controllers” must be briefed prior to the conduct of the drill to ensure consistency in the delivery of injects, and providing guidance to participants as the drill unfolds. Participants receiving conflicting instructions or erroneous reports or poorly timed inputs will be at least distracted, or worse, become disinterested.

b. Participants should be briefed just before the conduct of the drill. While participants are for the most part expected to perform their regular tasks, drills should be conducted primarily as a learning experience for all, rather than as a competition between the controllers and the participants. Thus, while participants need not be told the exact details of the drill, they should be aware of the objectives and especially the required attainments. The lessons learnt from previous drills of the same nature should also be reviewed during the briefing.



11. Conduct

a. All personnel, controllers and participants, should be at their work stations before the specified commencement time. Generally, drills should commence on the specified time, as this will minimize the need for communications. The first event from the Injects List may also be used to commence the drill. As the drill progresses, events or “injects” from the Injects List are initiated to keep the scenario in motion. If necessary, injects and scenario may be modified as the drill progresses to ensure that the objectives can be met.

b. Drills may be temporarily halted facility-wide or at a specific location for a number of reasons:

(1) Safety is compromised – Where the controller(s) observe that safety has become a concern, they should halt the drill to address the concerns, and re-commence only when they are satisfied that the issues have been resolved satisfactorily. If necessary, the drill can be ended.

(2) In situ Learning Experience - A particular lesson needs to be demonstrated or reinforced - Controllers and/or participants may spot a point or a lesson that is of special interest. It may be necessary to highlight the point immediately to reinforce the lessons to be derived from it. If this requires that “play” on the drill be suspended temporarily, then it certainly would be worthwhile to do so.

(3) “Time-out” - Difficulties faced by controllers and/or participants in continuing the conduct of the drill – Any number of concerns or difficulties may arise during the conduct of the drill to warrant its suspension or termination. This would be determined on the spot by the principal controller.

c. Upon termination of the drill, some time should be allocated for the controllers and participants to gather their thoughts on the events to prepare for the “hot wash-up” or debrief. The duration would be dependent on the nature/complexity of the drill. Time should also be provided for housekeeping i.e. recovery, accounting and stowage of materials, restoration of services, etc.

12. Performance Indicators

Response times, among others such as correctness of procedures and processes, are important elements of operational success. Therefore, primary performance indicators such as standard operating procedures (SOP) and response times achieved by the participants in the drill for the various activities expected of them would be gauged. A good record of such performances including response times achieved at various stages of the drill should be maintained for benchmarking and future reference.



| <u>For example</u> | | |
|-----------------------------|----------------------------|----------------------------------|
| <u>FROM</u> | <u>TO</u> | <u>DURATION</u> <u>(mins)</u> |
| From activation of an event | Response by security staff | xx |

DEBRIEF

13. The primary purpose of debrief is to consolidate the lessons learnt from the conduct of the drill. Thus, debrief is an essential part of the drill and must not be omitted. Debriefs are generally conducted immediately after the drill, when the lessons are fresh in the participants’ memory. A note-taker should be appointed so that the lessons are recorded for future reference. Guidance during the course of the debrief should be provided to the note taker as to what is to be recorded, such that all in attendance are able to listen in on that guidance if they wish to. A good guide would be to use the Aim, Objectives and more so, the Specific Objectives and Required Attainments of the Drill. These will also allow all in attendance to be fully cognizant of the records.

14. Guidance to individuals in preparing for the debrief:

- a. What was performed well?
- b. What was clarified by the drill?
- c. What take-away of significant value was derived?
- d. What should have been done differently?
- e. Were the objectives and required attainments achieved?
- f. Overall, were the Aim(s), Objectives and Required Attainments achieved?

REPORTS

15. Each conduct of a drill should be followed up by a report. Depending on the organization culture, the report may be verbal or it may be written, but it is recommended that a written report be submitted to management as it serves as a record of the event and the lessons learnt therefrom.

| <u>For example</u> |
|--|
| <p>The report can cover the following:</p> <ul style="list-style-type: none"> • Title and objectives • Date, time and duration • Controllers and participants • Significant events • Lessons learnt • Overall attainment of the Aim, Objectives and Required Attainments • Recommendations and Follow-up action |



16. In addition to the written report, a briefing on the drill should be given at a management meeting to apprise top management of the proceedings. This will allow issues requiring management intervention to be given due attention, especially those involving financial needs for actions required as a result of lessons learnt during the drill.

RECORDS

17. The ISPS Code requires that drills be conducted by Port Facilities at least once in every three months. A simple record of the conduct of the drill may be kept as evidence of compliance.

For example

The record can note the following:

- Type of drill conducted
- Date and time of conduct

18. An example format for an ISPS Drills and Exercises Record Book is given in [Appendix 5](#).



TIME-TABLE FOR PLANNING

| DAYS TO DRILL | DATE | EVENT | CHECK |
|---------------|-----------------|---|-------|
| D -30 | (calendar | Propose the type of drill to be conducted | |
| D -29 | dates to | Plan the scenario for the drill | |
| D -28 | be inserted) | Confirm budget availability for items and/or services to be employed during the drill | |
| D -28 | | Identify the primary objectives | |
| D -28 | | Identify the drill control team | |
| D -27 | | Obtain management endorsement if it is required | |
| D -25 | | Plan the master injects list | |
| D -5 | | Identify the participants | |
| D -2 | | Brief the control team | |
| D -2 | | Set up items if necessary | |
| D -1 | | Brief the participants | |
| D day | | Conduct the drill | |
| D day | | Perform the debrief and record the lessons learnt | |
| D +1 | | Record the conduct of the drill | |
| D +2 | | Report the conduct of the drill to management | |



RESPONSIBILITIES AND TASKS OF CONTROLLERS

Any activity benefits from good management, and a drill is no different – in order to ensure success, it must be properly managed. Therefore a manager or team assigned to the manager must be assigned to plan and conduct the drill. In training parlance, they are generally known as Exercise / Drill Planning and Control Team comprising exercise planners / controllers, led by the Chief Controller.

Controllers are responsible to undertake the following:

- Plan the scenario for the drill or review the selected Drill from this book
- Identify the control team members and the participants
- Set the time-table for the drill
- List the injects or events that will take place during the drill, relating each inject or event to a specific objective to be achieved based on the selected / reviewed or developed scenario for the drill
- Arrange for the materials and other resources such as transport, etc for the conduct of the drill
- Brief the participants on the nature, aim, objectives and required attainments for the drill
- Conduct the drill by initiating the scenario using the injects for participants to respond and adjusting planned injects and / or developing additional injects to meet the participants' Required Attainments and the training event's Aim and Objectives
- Identify areas for improvement in procedures, materials or resources for the performance of the security task that is the subject of the drill
- Identify initiatives, good work and deficiencies in the performance of the participants
- Terminate the drill at the end of the scenario or when the objectives have been achieved
- Arrange for the stowage or disposal of materials and resources used during the drill as appropriate
- Conduct the hot wash-up / debrief to gather feedback on the lessons learnt from the drill
- Submit report to management on the conduct of the drill
- Update the drill conduct in the organization's official record of events

**EXAMPLE MASTER EVENTS LIST**Vehicle bomb threat to port facility

| SERIAL NO. | TIME | EVENT/INJECT | EXPECTED RESPONSE | LOCATION |
|------------|------------------|--|---|---------------------------|
| Date: | 17 Oct XX | | | |
| 001 | 0900 | Controller briefing | | Conference room |
| 002 | 0930 | Participant briefing | | Staff recreation room |
| 003 | 1000 | All controllers and participants at respective positions | | As appropriate |
| 004 | 1001 | Drill commence | | |
| 005 | 1105 | Van with legitimate package to make delivery to ship alongside the port facility | Screening to be undertaken by security staff | Goods vehicle entry point |
| 006 | 1310 | Van with bomb in package to attempt entry, ostensibly to make delivery to ship alongside the port facility. Deliveryman has invalid documentation. If the deception is not detected, controller shall prompt participants. | Screening to be undertaken by security staff. Screening should detect falsified documentation and thorough check of van should reveal bomb. Bomb threat response procedure should be activated by participants | Goods vehicle entry point |
| 007 | | Drill terminated | Dispersal of personnel and equipment as planned | |
| 008 | | Debrief | Controllers and participants to report findings and lessons learnt | |



Notes:

Serial Numbers

Serial numbers serve to identify injects. Identification of injects by serial numberings allow for brevity of reference and communications. Serial numbers can be depicted as:

- Simple serial number: A two-digit to four-digit number may be used e.g. 01, 001 or 0001. The number of digits used depends on the expected number of injects.
- Serial number with date: The date prefixes the inject number. It is usually used when the training event stretches over days. In the unlikely event a drill runs over more than one day, such a serial number can be useful e.g. 1701 is the first inject on 17th of the month that the drills inject is to be executed etc... ; and, 1801, 1802 are the first and second injects to be executed on the 18th day of the month.
- Serial number with date and time: This uses the date and time as the serial number, and dispenses with a separate TIME column e.g. 170930 means 17th day of the month at 9.30 a.m. (24 hr clock)



ROLES AND FUNCTIONS OF A DRILLS SAFETY OFFICER

- To examine the plans for the drills and check on the safety aspects of the proposed events, injects and probable actions and their outcomes.
- To endorse the plans after having been satisfied of their safety features and considerations
- To be present at the respective scene of action during the conduct of the drills to monitor the safety situation and intervenes when safety breaches as detected is of immediate concern to safety of participants and the environment
- To advise the Chief Controller of any potential breaches of safety and provide appropriate recommendations to suspend or terminate the inject / drill



EXAMPLE OF A DRILLS AND EXERCISES RECORD BOOK

| ISPS Port Facility Drills and Exercises Record Book | | | |
|--|-----------------|-------------|---------------------------|
| EVENT | | TYPE | DATE CONDUCTED |
| DRILL | EXERCISE | | |
| | | | |
| | | | |