

Drill	D112		
Category	Access Control		
Туре	Personnel checks		
Subject	Visitor seeking entry without means of identification		
Security Level	1 and 2		
References	<ol> <li>Port Facility Security Plan</li> <li>Relevant Port Facility security instructions, regulations and memorandums</li> <li>APEC Manual of Maritime Security Drills and Exercises Volume I Part 1 – Guidelines for the Conduct of Maritime Security Drills</li> <li>ISPS Code</li> </ol>		

## **INTRODUCTION**

1. Access control is a primary security measure employed by all Port Facilities. This comprises perimeter security, and personnel and vehicle/vessel checks upon entry/exit. The integrity of access control measures depends on the quality of the personnel manning and maintaining them and the quality depends on the training, and regular audits of the personnel.

2. This drill requires security staff to respond to two attempts by individuals to enter the Port Facility premises via the normal entrance procedures, but without any means of identifying themselves.

## AIM OF THE DRILL

## 3. **General Objective**

To gauge the reliability of the procedures for security checks on personnel entering the Port Facility.

## 4. **Specific Objectives**

a. To determine if existing personnel security measures are adequate to prevent unauthorized persons from entering the Port Facility without proper identification.

- b. To practice personnel identification and verification procedures.
- c. To test the procedures for handling visitors to the Port Facility.



d. Meet or better the specified compliance benchmark for this drill.

## REQUIRED ATTAINMENTS

5. On completion of the drill, Port Facility employees and security staff will be able to:

a. apply the procedures in the Port Facility Security Plan (PFSP) to personnel entering the Port Facility, in particular the procedures for personnel identification and verification

- b. achieve denial of entry to unauthorized personnel.
- c. Perform access control in accordance with the procedures in the PFSP

## PLANNING FOR THE DRILL

### 6. **Timetable**

The date for the conduct of this drill should be scheduled in the Port Facility's annual work program. Preparations for this drill should commence 2 weeks prior to the date of conduct. An example of a time-table for the preparation and conduct of this drill is given in Appendix 1

## 7. **Personnel**

a. <u>Control Team</u>

(1) The Chief Controller may be the Port Facility Security Officer (PFSO) or a manager in charge of security matters. Where the first line response by security staff involves the PFSO, a manager should be considered for the appointment of Chief Controller. This will free the PFSO to respond to the situation as it develops during the drill.

(2) The Chief Controller is to arrange for two persons to be the Visitors (also designated as controllers). The persons should not be familiar to Port Facility security staff.

## b. <u>Participants</u>

The participants will be the Port Facility security staff.

c. <u>Safety Officer</u>

The appointment of a safety officer for this drill should be considered.



## 8. **Resources**

### a. <u>Equipment</u>

Provide camera for taking photographs of key installations in the Port Facility. The camera is a prop only, and should not contain any film/memory card/battery.

### b. <u>Communications</u>

## (1) **Equipment**

(a) <u>Mobile phone</u>: It is recommended that mobile phones should be the preferred means of communications between the Chief Controller and the controllers, subject to the availability of a cell phone network at the location of the Port Facility.

(b) <u>Walkie-talkie</u>: When using walkie-talkies, note that they have a short range and short battery life. They are usually bulky and may not be easily concealed, and they may be subject to interference if left switched on, leading to discovery at awkward moments.

## (2) **Codewords**

Code words are used to provide brevity and clarity in communications during the conduct of a drill. A list of suggested code words is given in Appendix 2. The code words must be promulgated to all controllers and participants of the drill.

## (3) **Security**

Consideration should be given to the possible disclosure of confidential information (e.g. details in the PFSP) in all exchanges connected with this drill, and appropriate precautions taken to avoid the release of such information to persons not authorized to receive it.

## c. <u>Other requirements</u>

- (1) Location for the debrief
- (2) Refreshments e.g. during the debrief
- (3) Person to take notes during the debrief
- (4) Stationery for note-taking

## 9. Safety

a. Security staff activity in connection with this drill would be monitored by the Safety Officer, if one is appointed. The Safety Officer should station himself at a location where he would be:



- (1) Able to observe the majority of events
- (2) Near where potentially hazardous activity may take place
- (3) Accessible should he be required in a contingency

b. Controllers with roles as intruders or drivers, etc. should be issued with a letter of identification provided in Appendix 3 to forestall any undesirable action or behavior on the part of security staff toward them.

## 10. **Budget**

Funding may be needed for the following:

- a. Employment of "visitors".
- b. Transportation costs for the "visitors".
- c. Refreshments for debrief.
- d. Reimbursement of expenses incurred by controllers or staff.

## 11. **Policy for disclosure**

a. The Chief Controller should decide if the drill is to be announced (i.e. participants such as security staff will be notified of the conduct of the drill) or the conduct of the drill will not be announced beforehand (i.e. the participants will not be informed of the conduct of the drill).

b. In deciding the mode, the following may be taken into consideration:

(1) Security - Where it is assessed that confidentiality is uncertain or difficult to maintain, it is preferable to opt for an announced drill.

(2) Organizational culture - Unannounced drills may be perceived as a test of the participants.

(3) Ships at the Port Facility - Where it is anticipated that the drill may impact in any way on ships alongside, their crew, agents, suppliers or contractors, ships alongside should be notified in advance of the drill.

## 12. Management endorsement

The Chief Controller should seek approval from management for the conduct of the drill. Management should be informed of the drill prior to its conduct, even if formal approval is not required.



## CONDUCTING THE DRILL

## 13. Master Events List

a. This drill requires the controllers, acting as "visitors", to attempt to enter the Port Facility by seeking permission in the normal manner at the Port Facility entrance. However, they will have no means of identifying themselves.

b. The "injects" (simulated events) for the conduct of the drill are provided in the example of a Master Events List at Appendix 4. These would be introduced on schedule or on completion of the preceding event. Adjustments would be made to cater to the prevailing circumstances.

## 14. **Controller briefing**

a. The briefing to controllers will be conducted by the Chief Controller and should include the following:

- (1) Roles to be played by controllers.
- (2) Positions of controllers at the commencement of the drill.
- (3) Transport arrangements.
- (4) Suggested responses to questioning by security staff.
- (5) Safety measures.

## b. <u>Scenario</u>

Two Visitors are attempting to gain access to the Port Facility in order to reconnoiter it as part of their surveillance plan for future mischief. Each operates independently of the other, and attempts to gain access at different times during the day. However, they have no information of the Port Facility organization and its personnel (i.e. they do not know the names of anyone in the organization), and they are unfamiliar with the Port Facility's operations (e.g. they do not know the names of ships alongside). They also do not have access to any forged identification documents.

c. <u>Tasks</u>

(1) The mission for both Visitors is to gain unrestricted (unaccompanied) access in order to survey the Port Facility and photograph key installations in the Port Facility. They will carry a camera each. Examples of key installations are:

- (a) Important machinery
- (b) Pipelines for fuel/liquid cargo
- (c) Power junction boxes or cables
- (d) Catwalks or gangways that will disrupt operations if destroyed
- (e) Major fire-fighting installations



(2) Both Visitors will approach the personnel entrance station to obtain a visitor pass.

(3) Once inside the Port facility, each "visitor" will pretend to take the requisite photographs, and if not apprehended, leave the Port Facility.

(4) A simulated dialogue between the "visitors" and the Port Facility security staff is provided at Appendix 5. It is not meant as a script, but a guide to the possible interaction.

(5) The Chief Controller will conduct the drill in accordance with the events listed in the Master Events List.

(6) The Chief Controller should position himself at a suitable location to discreetly observe the proceedings.

## 15. **Participant briefing**

a. A briefing to participants should be scheduled if it is decided that the drill is to be announced (paragraph 11). The brief to participants should include the following:

- (1) Review of the previous drill, including the lessons learnt
- (2) Objectives and scenario of the drill to be conducted

(3) The Port Facility's security instructions pertaining to the drill being conducted

- (4) Update on the ISPS Code and/or local regulations
- (5) Developments in maritime security (news, events, etc)
- b. It should <u>not</u> include information or details of the controllers' plans.

## 16. Briefing Aids

Briefing slides and notes are provided in the accompanying PowerPoint files. With entries for the names, dates, locations, etc. these may be used to conduct the briefing to controllers and to participants.

## 17. **Condition**

The Port Facility is to proceed with its daily business as usual. No prior preparations on the part of the participants and/or security arrangements are required for the conduct of this drill.



## 18. **Performance Measurement**

Performance indicators should be established for this drill. Some may be dependent on the specific circumstances of the Port Facility. Ideally, performance indicators should be objective, but subjective ones may also be observed by the controllers, e.g. the degree of compliance with Port Facility security instructions.

## CONCLUDING THE DRILL

19. The drill shall be ended under the following circumstances:

a. When the "visitors" have attained their mission i.e. gained unrestricted (unaccompanied) access, and taken photographs of the Port Facility that may be used in planning an attack.

or

b. When the "visitors" are denied entry or apprehended by Port Facility security staff.

or

c. Upon the Chief Controller's instruction.

## 20. **Debrief**

a. Allow some time for the controllers and security staff to gather their thoughts on the events, in preparation for debrief.

- b. Assemble all participating security staff for debrief
- c. The Chief Controller should conduct the debrief

d. Appoint a note-taker to record the salient points of the discussion and in particular the lessons learnt and any follow-up actions required. Guidance should be provided to the note-taker as to what is to be recorded.

e. Retrieve, review then delete all photographs that may have been taken by the "intruders".

## 21. **Reports**

a. Report the conduct of the drill to the management, either with a written report or verbally, as required by the management. An example of a report is provided at Appendix 6.

b. If a written report is submitted, arrange for a briefing on the drill to be given at a management meeting to inform top management of the proceedings.



## 22. **Records**

An ISPS Drills and Exercises Record Book should be maintained by the Port Facility. The following is an example of an entry in the ISPS Drill and Exercises Record Book:

## ISPS Port Facility Drills and Exercises Record Book

DATE	EVENT	ТҮРЕ	SUBJECT	REPORT REFERENCE
15/10/XX	Drill	Access control - Personnel checks	D112 - Visitor seeking entry without means of identification	<i>PF/101/08-D112</i> <i>dated xx/yy/zzzz</i>



## **D112 TIME-TABLE FOR PLANNING**

DAYS TO DRILL	DATE	EVENT	CHECK
D -14	(calendar	Review the Guidelines	
D -14	dates to be	Confirm budget availability for items and/or services to be employed during the drill	
D -12	inserted)	Identify the drill control team	
D -10		Obtain management endorsement if it is required	
D -7		Refine or adjust the Master Events List if necessary	
D -5		Confirm the participants	
D -2		Brief the controllers and issue Letter of Identification, funds, etc.	
D day		Conduct the drill	
D day		Perform the debrief and record the lessons learnt	
D day		Record the conduct of the drill	
D +1		Prepare the written report on the drill	
D +2		Report the conduct of the drill to management	



## CODE WORDS

Code words are used to provide brevity and clarity in communications during the conduct of a drill. The code words listed below may be used to control the drill. They are generally initiated by the Chief Controller. Additional code words may be coined for specific circumstances.

CODE WORD	MEANING
Drill Start	The drill is to commence
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
For Exercise	The message or statement that follows this preamble relates to the drill only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the drill e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."



Port Facility

12 October XXXX

The Security Officer Port Facility

## **LETTER OF IDENTIFICATION**

This is to certify that *Mr. ABC* is a controller in a *Port Facility* maritime security drill being conducted on *17 October XXXX*. Please contact the undersigned and escort *Mr. ABC* to the Security Office.

signed *Mr. DEF* Port Facility Security Officer



## **D112 MASTER EVENTS LIST**

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
Date: 1	2 Oct XX			
001	1600	Controllers briefing		Meeting point away from the Port Facility
<i>Date: 1</i> 2	7 Oct XX			
002	0830	Participant briefing*		Staff canteen
003	0900	Controllers final briefing		Meeting point away from the Port Facility convenient to transportation for the Visitors
004	1000	Controllers at respective positions		Chief Controller at Security Office
005	-	All security staff at respective positions		As appropriate
006	1001	Drill commence		
007	1030	Visitor 1 to embark transport to the Port Facility		Visitor 1 at nearby bus stop ready to embark bus to Port Facility
008	1105	Visitor 1 to attempt to obtain a visitor pass	Screening to be undertaken by security staff	Security office
009	1340	Visitor 2 to embark transport to the Port Facility	2 00	Visitor 2 at nearby bus stop ready to embark bus to Port Facility
010	1410	Visitor 2 to attempt to obtain a visitor pass	Screening to be undertaken by security staff.	Security office
011	1500	Drill End	Dispersal of personnel	
012	1530	Debrief	Controllers and security staff to report findings and lessons learnt	Staff recreation room

Appendix 4



## <u>D 112 - POSSIBLE DIALOGUE BETWEEN THE SECURITY STAFF</u> <u>AND THE "VISITORS"</u>

This dialogue serves as a guide to meet the simulation requirements of the drill. It is not meant as a script either for the security staff or the controller, but as a guide to the intent and content of the possible communication.

Visitor 1				
Security staff to Visitor 1	What is the purpose of your visit?			
Visitor 1 to Security staff	To see the safety supervisor to discuss safety equipment (any other equipment may be substituted e.g. machinery).			
Security staff to Visitor 1	What do you wish to discuss with the safety supervisor?			
Visitor 1 to Security staff	I have some new safety equipment to show him.			
Security staff to Visitor 1	What equipment?			
Visitor 1 to Security staff	<i>Safety harness</i> (any other equipment may be substituted. Carry a few brochures to support the deception. Such brochures may be obtained from shops and exhibitions).			
Security staff to Visitor 1	<i>Please produce your identification document in exchange for a visitor pass.</i>			
Visitor 1 to Security staff	(After pretending to go through wallet) <i>Sorry, but I seem to have left my identity card/driver's license</i> (or national means of identification) <i>in my office</i> .			
Security staff to Visitor 1	Do you have any other card or document of identification?			
Visitor 1 to Security staff	(After pretending to go through wallet) Sorry, no.			



	Visitor 2			
Security staff to Visitor 2	What is the purpose of your visit?			
Visitor 2 to Security staff	I am from the factory next door. I want to see the General Manager about some material/rubbish you have dumped next to the fence.			
Security staff to Visitor 2	Please produce your identification document in exchange for a visitor pass.			
Visitor 2 to Security staff	(After pretending to go through wallet) <i>Sorry, but I seem to have left my identity card/driver's license</i> (or national means of identification) <i>in my office.</i>			
Security staff to Visitor 2	Do you have any other card or document of identification?			
Visitor 2 to Security staff	(After pretending to go through wallet) Sorry, no.			



## **REPORT ON THE CONDUCT OF SECURITY DRILL D112**

Type of Drill	Access control - Personnel checks	
Drill Conducted	Unauthorized personnel seeking entry without a valid identification	
General objective	To gauge the reliability of the procedures for security checks on personnel entering the Port Facility	
Date and time	15 October XXXX at 0945 hrs.	
Duration	5 hrs	
Controllers	Mr GHJ, Manager, Safety and Security – Chief controller Mr YHU, Visitor 1 Mr KMJ, Visitor 2	
Participants	Security staff from Team 2 and Team 3 Participants were not briefed on the conduct of this drill	
Significant events	1. Two Visitors were assigned to attempt to penetrate into the company premises by defeating the security checks.	
	2. Visitor 1, who impersonated a salesman, was denied entry as he did not have identification documents on him.	
	3. Visitor 2, who claimed to want to see the GM, was permitted entry even though he did not have any identification documents. He was escorted by one of our security staff. He realized he could not succeed in his mission of scouting the premises and taking photographs, and turned around half-way and left on the pretext of getting something from his vehicle that he had forgotten to bring with him.	



Lessons learnt	<ol> <li>Visitor 1 was not apprehended as the suspicions of security staff were not sufficiently raised. It is assessed that this is acceptable as the Visitor had a reasonable cover story for his lack of identification documents.</li> <li>Visitor 2 made a better impression on the security staff with his cover story of seeing the GM, thus gaining him entry even though he did not have identification documents. Security staff followed the correct procedures and escorted him.</li> <li>Visitor 2 should have been monitored as he made his way back to his vehicle. It would then have been determined that he was not a bona fide visitor.</li> <li>Include photographs if relevant</li> </ol>
Follow-up action	Security staff to be reminded that identification documents are pre-requisites to entry into the premises, regardless of excuses or whom the visitor is going to see.
Performance indicators	<ol> <li>Prevention success rate – 2/2</li> <li>The degree of compliance with Port Facility security instructions in handling:         <ul> <li>a. Visitor 1 – x%</li> <li>b. Visitor 2 – y%</li> </ul> </li> </ol>
Total cost	\$xxx

## XYZ Port Facility Maritime Security Drill

## Controllers' Briefing

date

Access Control – Personnel Checks

Visitor seeking entry without any means of personal identification

Drill D112



Drill number: 1/08

Date:

Start Time:

Location:

Estimated End Time:

#### Visitor seeking entry without means of identification

### General Objective

To gauge the reliability of the procedures for security checks on personnel entering the Port Facility



### Visitor seeking entry without means of identification

### Specific Objectives

- To determine if existing personnel security measures are adequate to prevent unauthorized persons from entering the Port Facility without proper identification
- To practice personnel identification and verification procedures
- To test the procedures for handling visitors to the Port Facility
- Meet or better the specified compliance benchmark for this drill

### **Required Attainments**

Security staff will be able to:

- Apply the procedures in the Port Facility Security Plan (PFSP) to personnel entering the Port Facility, in particular the procedures for personnel identification and verification
- Achieve denial of entry to unauthorized personnel
- Perform access control in accordance with the procedures in the PFSP

### Visitor seeking entry without means of identification

#### Control Team

- Chief Controller: PFSO, Mr. AAA
- Controllers
  - ✦ Visitor 1 Mr / Ms XXX
  - + Visitor 2 Mr / Ms YYY

## Visitor seeking entry without means of identification

#### Participants

- •
- •

### <u>Scenario</u>

Ports are facing an imminent (
maritime security threat



- The Designated Authority has issued a notification that personnel may be actively targeting Port Facilities
- All security personnel are to be especially vigilant over this period

### Visitor seeking entry without means of identification

#### **Controller Mission**

To gain unrestricted access to the Port Facility and photograph key installations in order to prepare for a sabotage operation in the near future



## Visitor seeking entry without means of identification

### Controller Tasks

Two visitors will attempt to enter the Port Facility premises to survey the vulnerabilities for a subsequent sabotage operation



### Controller Tasks

- To approach the pass office at different times and attempt to obtain a visitor pass
- Carry a (hidden) camera each and pretend to take photographs of key installations if entry is successful
- Do not carry any identification documents with you

### Visitor seeking entry without means of identification

### Controller Tasks

- Give a false identity when questioned
- Cover Story
  - Controller 1: The reason for requesting access is to demonstrate safety equipment
  - Controller 2: From adjacent Port Facility, to see the GM about rubbish dumped at adjoining fence

### Visitor seeking entry without means of identification

### Controller Tasks

• Carry the "Letter of Identification" and tender it if harassed



• If not challenged after conducting the survey over 45 mins. and "taking photos" leave the Port Facility by the main gate

Visitor seeking entry without means of identification
Identification

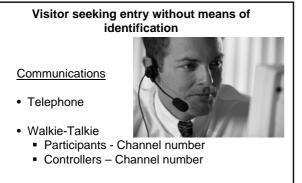
### Master Events List

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
Date: DD	/MM/YY			
001 1600		Controllers briefing	Meeting point a Port Facility	
Date: DD/	MM/YY			
002	002 0830 Participant briefin			Staff canteen / Briefing Room / Etc
003	003 0900 Controllers final briefing			Meeting point away from the Port Facility convenient to transportation for the Visitors
004	04 1000 Controllers at respective positions			Chief Controller at Security Office
005		All security staff at respective positions		As appropriate

### Visitor seeking entry without means of identification

### Master Events List

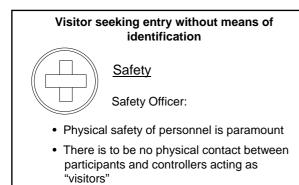
SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
006	1001	Drill commence		
007	1030	Visitor 1 to embark transport to the Port Facility		Visitor 1 at nearby bus stop ready to embark bus to Port Facility/ other transport modes
008	1105	Visitor 1 to attempt to obtain a visitor pass	Screening to be undertaken by security staff	Security office
009	1340	Visitor 2 to embark transport to the Port Facility		Visitor 2 at nearby bus stop ready to embark bus to Port Facility / other transport modes
010	1410	Visitor 2 to attempt to obtain a visitor pass	Screening to be undertaken by security staff.	Security office
011	1500	Drill End	Dispersal of personnel	
012	1530	Debrief	Controllers and security staff to report findings and lessons learnt	Assigned room eg., Staff recreation room



 Mobile phone – please exchange mobile numbers by xxxx hrs.

Visitor	Visitor seeking entry without means of identification Code words				
Code word					
Drill Start	The drill is to commence				
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				
For Exercise	The message or statement that follows this preamble relates to the drill only, and is not to be confused with real activity				
No Duff	The message or statement that follows this preamble relates to a real event or instruction				





- · Controllers are not to resist "arrest"
- Do not neglect the safety of equipment

**Debrief** 

- Location:
- Secretary:
- Attendance
  - -
  - •







## XYZ Port Facility Maritime Security Drill

## Participants' Briefing

date

Access Control – Personnel Checks

Visitor seeking entry without any means of personal identification

Drill D112



**Review of Previous Port Facility Drill no. 4/07** 

Date conducted:

Objectives:

Lessons Learnt:

- •
- •
- •

## Visitor seeking entry without means of identification

Drill number: 1/08

Date:

Start Time:

Location:

Estimated End Time:

## Visitor seeking entry without means of identification

### General Objective

To gauge the reliability of the procedures for security checks on personnel entering the Port Facility



### Persons Entering Without Permission

### Specific Objectives

- To determine if existing personnel security measures are adequate to prevent unauthorized persons from entering the Port Facility without proper identification
- To practice personnel identification and verification procedures
- To test the procedures for handling visitors to the Port Facility
- Meet or better the specified compliance benchmark for this drill

#### Visitor seeking entry without means of identification

### **Required Attainments**

Security staff will be able to:

- Apply the procedures in the Port Facility Security Plan (PFSP) to personnel entering the Port Facility, in particular the procedures for personnel identification and verification
- Achieve denial of entry to unauthorized personnel
- Perform access control in accordance with the procedures in the PFSP

# Visitor seeking entry without means of identification <u>Control Team</u> • Chief Controller: PFSO, Mr. AAA



### Persons Entering Without Permission

#### Participants

- •
- •

### Visitor seeking entry without means of identification

<u>Scenario</u>

• Ports are facing an imminent maritime security threat



- The Designated Authority has issued a notification that personnel may be actively targeting Port Facilities
- All security personnel are to be especially vigilant over this period

## Visitor seeking entry without means of identification

### Port Facility Security Instructions

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#### **Communications**

Normal Port Facility security communications is to be used

- Telephone
- Walkie-Talkie



Mobile phone

## Visitor seeking entry without means of identification

### Code words

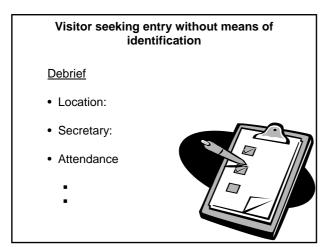
Drill Start	The drill is to commence		
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Drill End	The drill is completed		
For Exercise	The message or statement that follows this preamble relates to the drill only, and is not to be confused with real activity		
No Duff	The message or statement that follows this preamble relates to a real event or instruction		

## Visitor seeking entry without means of identification

### <u>Safety</u>

### Safety Officer:

- Physical safety of personnel is paramount
- There is to be no physical contact between participants and controllers acting as intruders, etc.
- Security staff are not to use abusive language when talking to controllers acting as "visitors"
- Do not neglect the safety of equipment



### Person seeking entry using false documents

Updates on the ISPS Code and local Regulations

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