



Drill	D114
Category	Access Control
Type	Personnel checks
Subject	Entry by employees without their security pass
Security Level	1 and 2
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Volume I Part 1 – Guidelines for the Conduct of Maritime Security Drills 4. ISPS Code

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. Personnel who access the Port Facility regularly may be issued with permanent personal security passes to facilitate their work on the premises. These may be employees, contractors, suppliers or even ship agents. For various reasons, such persons may fail to bring their passes with them when reporting to work. This drill requires security staff to respond to two Port Facility employees who do not have their security passes with them.

AIM OF THE DRILL

3. **General Objective**

To practice security staff in the Port Facility's procedures for the issue of personnel security passes.

4. **Specific Objectives**

- a. To practice the entry procedures for employees who do not have their security passes.
- b. To practice personnel identification and verification procedures.
- c. To enhance the security awareness of threats 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. Screen personnel who wish to gain entry to the Port Facility.
 - b. Verify the identity of personnel with legitimate reason to be in the Port Facility.
 - c. Apply the procedures in the Port Facility Security Plan (PFSP) to allow entry by employees of the Port Facility.

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. Control Team

- (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 employees to take part in the drill as controllers.

- b. Participants

The participants will be the Port Facility security staff.

- c. Safety Officer

The appointment of a safety officer for this drill may be considered, but is not expected to be essential for this drill.



8. Resources

a. Communications

(1) **Equipment**

(a) Mobile phone: 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) Walkie-talkie: 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.

b. Other requirements

- (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



10. **Budget**

Funding may be needed for the following:

- a. Refreshments for debrief.
- b. 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 to present themselves at the security office and state that they had forgotten to bring their security passes to work with them that day. Security staff will be expected to act in accordance with the procedures specified in the Port Facility's security instructions to facilitate their entry, if the conditions are met.
- b. The "injects" (simulated events) for the conduct of the drill are provided in the example of a Master Events List at Appendix 3. 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. Scenario

Employees of the Port Facility are likely to be issued with permanent security passes. For a variety of reasons, employees may forget to bring the pass when they report to the Port Facility for work. The Port Facility security instructions will have procedures to issue temporary passes to such individuals.

c. Tasks

- (1) The mission for the controllers is to gain unrestricted access in order to proceed to their place of work in the Port Facility. They will comply with all security staff instructions to gain entry to the Port Facility. They will not reveal the actual status of their permanent passes until the end of the drill is declared.
- (2) Employee 1 will not have the security pass, as it was “forgotten” in the rush to get to work. He/she will have his/her personal identity card/document, but need not offer it unless requested by security staff.
- (3) Employee 2 will not have the security pass, and will also not have his/her personal identity document, as both were “stolen” on the way to work that morning. He/she is late for work as a Police report had to be made. He/she will not have a copy of the “Police report”.
- (4) The Chief Controller will conduct the drill in accordance with the events listed in the Master Events List.
- (5) 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 not include information or details of the controllers' plans for the drill.

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 controller has gained entry to his workplace in the Port Facility.
 - or
 - b. If the controller is denied entry into the Port Facility by 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.

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 4.
- 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	TYPE	SUBJECT	REPORT REFERENCE
<i>15/10/XX</i>	<i>Drill</i>	<i>Access control - Personnel checks</i>	<i>D114 - Entry by employees without their security pass</i>	<i>PF/101/08-D114 dated xx/yy/zzzz</i>

**D114 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	
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.”

**D114 MASTER EVENTS LIST**

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
<i>Date: 12 Oct XX</i>				
001	1600	<i>Controllers briefing</i>		<i>Meeting point away from the Port Facility</i>
<i>Date: 17 Oct XX</i>				
002	0800	<i>Participant briefing*</i>		<i>Staff canteen</i>
003	0810	<i>All security staff at respective positions</i>		<i>As appropriate</i>
004	0830	<i>Drill commence</i>		
005	<i>Normal clock-in time</i>	<i>Employee 1 to report he/she "forgot" to bring his/her employee pass</i>	<i>Screening to be undertaken by security staff and temporary pass issued according to the Port Facility procedures</i>	<i>Security office</i>
006	1130	<i>Employee 2 to report that the employee pass had been "stolen" on the way to work. If/when asked for personal identity document, this has also been "stolen".</i>	<i>Screening to be undertaken by security staff</i>	<i>Security office</i>
007	1200	<i>Drill End</i>	<i>Dispersal of personnel</i>	
008	1530	<i>Debrief</i>	<i>Controllers and security staff to report findings and lessons learnt</i>	<i>Staff recreation room</i>
* Not required if the drill is to be conducted without prior notice to the participants				

**REPORT ON THE CONDUCT OF SECURITY DRILL D114**

Type of Drill	<i>Access control - Personnel checks</i>
Drill Conducted	<i>Entry by employees without their security pass</i>
General objective	<i>To practice security staff in the Port Facility's procedures for the issue of personnel security passes</i>
Date and time	<i>15 October XXXX at 0800 hrs</i>
Duration	<i>5 hrs</i>
Controllers	<i>Mr GHJ, Manager, Safety and Security – Chief controller Mr KMJ, Employee Ms FGH, Employee</i>
Participants	<i>Security staff from Team 2 and Team 3 All participants were briefed on the conduct of this drill</i>
Significant events	<i>1. Two employees reported for work without their security passes. 2. Controller Mr KMJ claimed to have forgotten to bring his permanent security pass. A temporary pass was issued by the security staff in exchange for his identity card. 3. Controller Ms FGH arrived late for work at the Port Facility. She reported to the security office that she had lost her security pass in the bus on the way to work that morning. She did not have her identity document. The security staff did not ask for a copy of the alleged Police report. A temporary pass was issued by the security staff, who recognized Ms FGH.</i>



Lessons learnt	<i>Security staff should have verified Ms FGH's employment status with her office before issuing a temporary pass. This is to prevent former employees from un-authorized access into the Port Facility. The security staff should also have asked for a copy of the alleged Police report.</i>
Follow-up action	<i>1. Security staff will be reminded of the need to verify the employment status of employees with their office if they do not carry their security pass, even if they are recognized. 2. The Port Facility security instructions will be amended to insert the requirement to check employment status.</i>
Performance indicators	<i>1. Error rate – 1/2 2. The degree of compliance with Port Facility security instructions in handling: a. Employee 1 – x% b. Employee 2 – y%</i>
Total cost	<i>\$xxx</i>

XYZ Port Facility
Maritime Security Drill

Controllers' Briefing

date

Access Control – Personnel Checks

**Entry by employees without
their security pass**

Drill D114

Entry by employees without their security pass

Scope

- Date, time, location
- General objective
- Specific objectives
- Required attainments
- Controllers
- Participants
- Scenario
- Controller Mission
- Controller Tasks
- Communications
- Safety
- Debrief



Entry by employees without their security pass

Drill number: 1/08

Date:

Start Time:

Location:

Estimated End Time:

Entry by employees without their security pass

General Objective

To practice security staff in the Port Facility's procedures for the issue of personnel security passes



Entry by employees without their security pass

Specific Objectives

- To practice the entry procedures for employees who do not have their security passes
- To practice personnel identification and verification procedures
- To enhance the security awareness of threats to the Port Facility
- Meet or better the specified compliance benchmark for this drill

Entry by employees without their security pass

Required Attainments

Security staff will be able to:

- Screen personnel who wish to gain entry to the Port Facility
- Verify the identity of personnel with legitimate reason to be in the Port Facility
- Apply the procedures in the Port Facility Security Plan (PFSP) to allow entry by employees of the Port Facility

Entry by employees without their security pass

Control Team

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

Entry by employees without their security pass

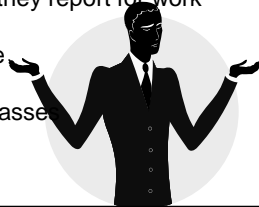
Participants

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Entry by employees without their security pass

Scenario

- Employees at the Port Facility are issued with security passes. For various reasons, some employees may not have their security passes with them when they report for work
- This drill will examine the procedures pertaining to the issue of temporary passes



Entry by employees without their security pass

Scenario

Employees at the Port Facility are issued with security passes. For various reasons, some employees may not have their security passes with them when they report for work



Entry by employees without their security pass

Controller Mission



To gain unrestricted access to place of work in the Port Facility

Entry by employees without their security pass

Controller Tasks

Two employees will attempt to enter the Port Facility premises without security passes, in order to proceed to the place of work



Entry by employees without their security pass

Controller Tasks

- Employee 1 – Ms. XXX: Forgot the security pass in the rush to get to work. Has personal identification document, but need not offer it unless demanded
- Employee 2 – Mr. YYY: Security pass and identity document stolen by a pickpocket on the way to work. Made a Police report but does not have a copy of it.

Entry by employees without their security pass

Master Events List

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
Date: DD/MM/YY				
001	1600	Controllers briefing		Meeting point away from the Port Facility
Date: DD/MM/YY				
002	0800	Participant briefing		Staff canteen / Briefing Room / Etc..
003	0810	All security staff at respective positions		As appropriate
004	0830	Drill commence		

Entry by employees without their security pass

Master Events List

SERIAL NO.	TIME	EVENT/SUBJECT	EXPECTED RESPONSE	LOCATION
005	Normal clock-in time	Employee 1 to report he/she "forgot" to bring his/her employee pass	According to PFSP procedures, security staff to • Undertake screening • Issue temporary pass upon verification	Security office
006	1130	Employee 2 to report that the employee pass had been "stolen" on the way to work. If/when asked for personal identity document, this has also been "stolen".	According to PFSP procedures, security staff to • Undertake screening • Issue temporary pass upon verification	Security office
007	1200	Drill End	Dispersal of personnel	
008	1530	Debrief	Controllers and security staff to report findings and lessons learnt	Assigned room eg., Staff recreation room

Entry by employees without their security pass

Communications



- Telephone
- Walkie-Talkie
 - Participants - Channel number
 - Controllers – Channel number
- Mobile phone – please exchange mobile numbers by xxxx hrs.

Entry by employees without their security pass

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

Entry by employees without their security pass



Safety

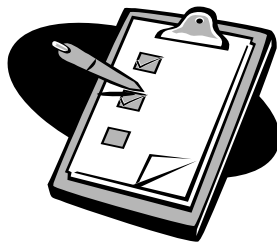
Safety Officer:

- Physical safety of personnel is paramount
- There is to be no physical contact between participants and controllers acting as employees, etc
- Controllers are not to resist "arrest"
- Do not neglect the safety of equipment

Entry by employees without their security pass

Debrief

- Location:
- Secretary:
- Attendance
-
-



Entry by employees without their security pass



end

Any questions ?

XYZ Port Facility
Maritime Security Drill

Participants' Briefing

date

Access Control – Personnel Checks

**Entry by employees without
their security pass**

Drill D114

Entry by employees without their security pass

Scope

- Review of the previous drill
- Date, time, location
- General objective
- Specific objectives
- Required attainments
- Controllers
- Participants
- Scenario
- Port Facility security instructions
- Communications
- Safety
- Debrief
- Update on the ISPS Code/local regulations
- Developments in maritime security



Entry by employees without their security pass

Review of Previous Port Facility Drill no. 4/07

Date conducted:

Objectives:

Lessons Learnt:

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-
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Entry by employees without their security pass

Drill number: 1/08

Date:

Start Time:

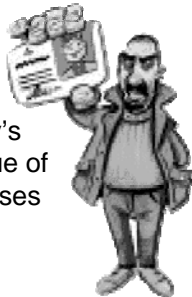
Location:

Estimated End Time:

Entry by employees without their security pass

General Objective

To practice security staff in the Port Facility's procedures for the issue of personnel security passes



Entry by employees without their security pass

Specific Objectives

- To practice the entry procedures for employees who do not have their security passes
- To practice personnel identification and verification procedures
- To enhance the security awareness of threats to the Port Facility
- Meet or better the specified compliance benchmark for this drill

Entry by employees without their security pass

Required Attainments

Security staff will be able to:

- Screen personnel who wish to gain entry to the Port Facility
- Verify the identity of personnel with legitimate reason to be in the Port Facility
- Apply the procedures in the Port Facility Security Plan (PFSP) to allow entry by employees of the Port Facility

Entry by employees without their security pass

Control Team

- Chief Controller: PFSO, Mr. AAA



Entry by employees without their security pass

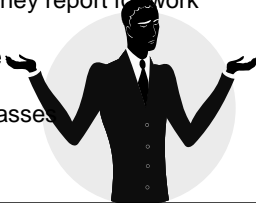
Participants

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Entry by employees without their security pass

Scenario

- Employees at the Port Facility are issued with security passes. For various reasons, some employees may not have their security passes with them when they report for work
- This drill will examine the procedures pertaining to the issue of temporary passes



Entry by employees without their security pass

Port Facility Security Instructions

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Entry by employees without their security pass

Communications

- Telephone
- Walkie-Talkie
- Mobile phone – please exchange mobile numbers by xxxx hrs.



Entry by employees without their security pass

Code words

Drill Start	The drill is to commence
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Entry by employees without their security pass



Safety

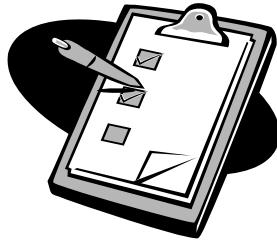
Safety Officer:

- Physical safety of personnel is paramount
- There is to be no physical contact between participants and controllers acting as employees, etc
- Controllers are not to resist “arrest”
- Do not neglect the safety of equipment

Entry by employees without their security pass

Debrief

- Location:
- Secretary:
- Attendance
-
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Entry by employees without their security pass

Updates on the ISPS Code and local Regulations

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Entry by employees without their security pass

Developments in Maritime Security



Entry by employees without their security pass



end
