



<b>Drill</b>	D115
<b>Category</b>	Access Control
<b>Type</b>	Personnel checks
<b>Subject</b>	Entry by Contractor with expired long-term pass
<b>Security Level</b>	1 and 2
<b>References</b>	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 long-term personal security passes to facilitate their entry to the premises. These may be contractors, suppliers or even ship agents. For various reasons, such persons may fail to bring their passes with them or have expired passes. This drill requires security staff to respond to two contractors' personnel who have expired security passes.

## 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 contractor staff who have expired 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 personnel with legitimate reason to be in 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 contractor's staff to carry "expired" passes.

- 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. Props

The Chief Controller should arrange for two “expired” passes to be prepared, based on existing passes issued to the two contractor’s staff participating.

### b. 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.

### c. 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. Production of two “expired” passes for contractor personnel
- b. Refreshments for debrief.
- c. 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 report to work with “expired” passes. Security staff will be expected to detect the expired passes and 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

Persons who enter the Port Facility regularly as part of their job are likely to be issued with permanent or long-term Port Facility security passes. These passes will have validity periods, and expired passes are expected to be returned, or renewed. For a variety of reasons, persons issued with such passes may forget to re-validate these passes when they expire, even though they have a legitimate reason to continue accessing the Port Facility. Security staff are expected to note the validity dates of passes issued to such persons.

#### 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 wear their “expired” passes and proceed to enter the Port Facility in their usual manner. They will not reveal the actual status of their long-term passes until the end of the drill is declared.

(2) Contractor staff 1 will have an expired security pass. He/she will report at the normal time and proceed to enter the Port Facility in the usual manner. He/she will have his/her personal identity card/document, but need not offer it unless requested by security staff.



(3) Contractor staff 2 will have an expired security pass. He/she will report several hours late for work and proceed to enter the Port Facility in the usual manner. He/she will not have his/her personal identity document, as he had lost his wallet on the way to work and had to make a Police report. 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 the 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:

<b>ISPS Port Facility Drills and Exercises Record Book</b>				
<b>DATE</b>	<b>EVENT</b>	<b>TYPE</b>	<b>SUBJECT</b>	<b>REPORT REFERENCE</b>
<i>15/10/XX</i>	<i>Drill</i>	<i>Access control - Personnel checks</i>	<i>D115 - Entry by Contractor with expired long-term pass</i>	<i>PF/101/08-D115 dated xx/yy/zzzz</i>



**D115 TIME-TABLE FOR PLANNING**

<b>DAYS TO DRILL</b>	<b>DATE</b>	<b>EVENT</b>	<b>CHECK</b>
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.

<b>CODE WORD</b>	<b>MEANING</b>
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.”

**D115 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	-	<i>All security staff at respective positions</i>		<i>As appropriate</i>
004	0830	<i>Drill commence</i>		
005	-	<i>Contractor staff to attempt entry with an expired long-term security 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	1410	<i>Contractor staff to attempt entry with an expired long-term security pass. He/she will also not have a personal identity document</i>	<i>Screening to be undertaken by security staff</i>	<i>Security office</i>
007	1500	<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 D115**

Type of Drill	<i>Access control - Personnel checks</i>
Drill Conducted	<i>Entry by Contractor with expired long-term 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, Contractor staff Mr PLK, Contractor staff</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 contractor staff with legitimate reason to access the Port Facility proceeded to enter in their usual manner as they have done each day.  2. Contractor staff 1 displayed an expired long term security pass, but it was not noticed by security staff, and he proceeded into the Port Facility.  3. Contractor staff 2 arrived late at the Port Facility. His expired long-term security pass was detected. He did not have his personal identity document and could not produce the Police report he claimed to have made. Security staff also checked with the Port Facility building construction manager and verified Mr. PLK's status, but continued to refuse him entry.</i>



Lessons learnt	<i>Security staff should have verified the validity of all permanent and long-term security passes, even if the bearers are recognized individuals, and are entering the Port Facility en masse, as during the morning rush hour.</i>
Follow-up action	<i>1. Security staff will be reminded of the need to verify the validity of permanent and long-term security passes, even during rush periods. 2. Security staff Mr. YHB, who was responsible for detecting Mr. PLK's expired pass and denying him entry has been commended. 3. Mr. YHB's check with the contractor even though he had already decided that Mr. PLK did not qualify for entry was appropriate, and Port Facility security instructions will be amended to insert the requirement to check with the company office in such situations.</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

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Access Control – Personnel Checks

**Entry by Contractor with  
expired long-term pass**

Drill D115

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Entry by Contractor with expired long-term pass

Scope

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



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Entry by Contractor with expired long-term pass

Drill number: 1/08

Date:

Start Time:

Location:

Estimated End Time:

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Entry by Contractor with expired long-term pass

General Objective

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



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Entry by Contractor with expired long-term pass

Specific Objectives

- To practice the entry procedures for contractor staff with expired 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

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Entry by Contractor with expired long-term pass

Required Attainments

Security staff will be able to:

- Screen contractor staff who wish to gain access to the Port Facility
- Verify the identity of contractor staff authorized to access the Port Facility
- Apply the procedures in the Port Facility Security Plan (PFSP) to allow entry by contractor employees of the Port Facility

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Entry by Contractor with expired long-term pass

Control Team

- Chief Controller: PFSO, Mr. AAA
- Controllers
  - ✦ Contractor staff 1 – Mr. XXX
  - ✦ Contractor staff 2 – Mr. YYY

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Entry by Contractor with expired long-term pass

Participants

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Entry by Contractor with expired long-term pass

Scenario

- Contractors and staff who have to enter the Port Facility regularly are issued long-term Port Facility security passes. These passes have validity periods. Expired passes must be returned or renewed
- Some may forget to re-validate the passes. Security staff must note the validity dates of passes as part of the entry screening procedure



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Entry by Contractor with expired long-term pass

Controller Mission



To simulate as contractor staff to gain unrestricted access to the assigned place of work in the Port Facility

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Entry by Contractor with expired long-term pass

Controller Tasks

- Contractor Staff 1 – Mr. XXX: To wear expired security pass and report at usual time for work. Has personal identification document, but should not offer it unless demanded
- Contractor Staff 2 – Mr. YYY: To wear expired security pass and report hours late for work. Identity document stolen by a pickpocket on the way to work. Made a Police report but does not have a copy of it.

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Entry by Contractor with expired long-term 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	-	All security staff at respective positions		As appropriate
004	0830	Drill commence		

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Entry by Contractor with expired long-term pass

Master Events List

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
005	-	Contractor staff to attempt entry with an expired long-term security pass	Screening to be undertaken by security staff and temporary pass issued according to the Port Facility procedures	Security office
006	1410	Contractor staff to attempt entry with an expired long-term security pass. He/she will also not have a personal identity document	Screening to be undertaken by security staff	Security office
007	1500	Drill End	Dispersal of personnel	
008	1530	Debrief	Controllers and security staff to report findings and lessons learnt	Assigned room eg., Staff recreation room

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Entry by contractor with expired long term pass

Communications

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




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Entry by Contractor with expired long-term pass

Code words

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

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Entry by Contractor with expired long-term pass



Safety

Safety Officer:

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

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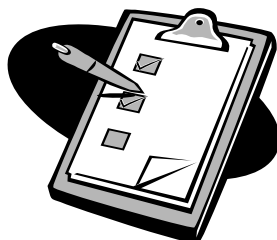
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Entry by Contractor with expired long-term pass

Debrief

- Location:
- Secretary:
- Attendance
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Entry by Contractor with expired long-term pass



end

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XYZ Port Facility  
Maritime Security Drill

Participants' Briefing

date

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Access Control – Personnel Checks

**Entry by Contractor with  
expired long-term pass**

Drill D115

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Entry by Contractor with expired long-term 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



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Entry by Contractor with expired long-term pass

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

Date conducted:

Objectives:

Lessons Learnt:

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Entry by Contractor with expired long-term pass

Drill number: 1/08

Date:

Start Time:

Location:

Estimated End Time:

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Entry by Contractor with expired long-term pass

General Objective

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



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Entry by Contractor with expired long-term pass

Specific Objectives

- To practice the entry procedures for contractor staff with expired 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

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Entry by Contractor with expired long-term pass

Required Attainments

Security staff will be able to:

- Screen contractor staff who wish to gain access to the Port Facility
- Verify the identity of contractor staff authorized to access the Port Facility
- Apply the procedures in the Port Facility Security Plan (PFSP) to allow entry by contractor employees of the Port Facility

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Entry by Contractor with expired long-term pass

Control Team

- Chief Controller: PFSO, Mr. AAA



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Entry by Contractor with expired long-term pass

Participants

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Entry by Contractor with expired long-term pass

Scenario

- Contractors and staff who have to enter the Port Facility regularly are issued long-term Port Facility security passes. These passes have validity periods. Expired passes must be returned or removed.
- Some may forget to re-validate the passes. Security staff must note the validity dates of passes as part of the entry screening procedure



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Entry by Contractor with expired long-term pass

Port Facility Security Instructions

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**Entry by contractor with expired long term pass**

Communications

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



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**Entry by Contractor with expired long-term pass**

Code words

Drill Start	The drill is to commence
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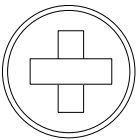
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**Entry by Contractor with expired long-term pass**



Safety

Safety Officer:

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

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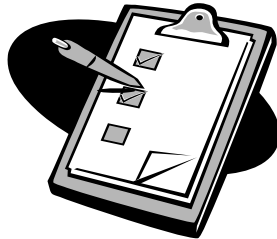
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Entry by Contractor with expired long-term pass

Debrief

- Location:
- Secretary:
- Attendance
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Entry by Contractor with expired long-term pass

Updates on the ISPS Code and local Regulations

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Entry by Contractor with expired long-term pass

Developments in Maritime Security



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Entry by Contractor with expired long-term pass



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