



<b>Drill</b>	D116
<b>Category</b>	Access Control
<b>Type</b>	Personnel checks
<b>Subject</b>	Entry by ship crew / shipping agency / seafarer organization representatives without prior notice
<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 Vol 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. Some may come under a different regimen despite having been issued long-term passes, such as having to notify the Port Facility prior to each visit. This drill requires security staff to respond to a request for access by pre-authorized persons who do not fully meet all the stipulated rules at point of entry.

## 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 pre-authorized personnel with long-term 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 conduct of this drill should be scheduled in the Port Facility's annual work program. However, as the participation of a ship agency and ship crew member are required, the specific date is likely to be fixed only when the controllers required by this drill are available, and the circumstances required by this drill are met. 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 obtain prior agreement with a ship agent to take part in this drill when the personnel required as controllers are available. These are as follows:

- (a) A representative from the ship agent who has been issued with a long-term security pass, and is accompanying the crew to facilitate his joining ship.



(b) One new member of a ship crew joining the ship at the Port Facility.

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.

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. 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.

c. While this drill does not directly involve the ship alongside, her ship agent and joining crew are participating as controllers. The ship should therefore 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 Port Facility security staff to respond to a request for entry by a ship agent's representative and a joining crew member of a ship alongside. Security staff will be expected to act in accordance with the procedures specified in the Port Facility's security instructions on this matter.

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

A ship agency representative, accompanied by a joining crew member, present themselves at the security office and request entry to the Port Facility in order to embark a ship alongside. Although the ship agent's representative has been issued with a long-term pass, the Port Facility requires the ship agent to notify the Port Facility in advance, along with full details of the crew member, when joining crew access the Port Facility to join ship. In this drill, the ship agent failed to notify the Port Facility beforehand.

#### c. Tasks

- (1) The mission for the controllers is to gain access to the Port Facility in order to proceed to the ship. They will comply with all security staff instructions to gain entry. The ship agent's representative will have his valid long-term pass available. Both controllers should have their personal identification documents on them, but need not offer these unless requested by security staff.
- (2) The Chief Controller will conduct the drill in accordance with the events listed in the Master Events List.
- (3) 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 controllers have gained entry to the Port Facility; or,
- b. If the controllers are denied entry into the Port Facility; 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:

<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>D116 - Entry by ship crew / shipping agency / seafarer organization representatives without prior notice</i>	<i>PF/101/08-D116 dated xx/yy/yyyy</i>

**D116 TIME-TABLE FOR PLANNING**

<b>DAYS TO DRILL</b>	<b>DATE</b>	<b>EVENT</b>	<b>CHECK</b>
-		Obtain agreement from ship agent to participate in the drill when control personnel are available and circumstances are met.	
D -14	(calendar	Review the Guidelines	
D -12	dates to be	Confirm budget availability for items and/or services to be employed during the drill	
D -10	inserted)	Obtain management endorsement if it is required	
D -7		Refine or adjust the Master Events List if necessary	
D -5		Confirm the controllers with the ship agent	
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.”

**D116 MASTER EVENTS LIST**

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
<i>Date: 15 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	0900	<i>Participant briefing*</i>		<i>Staff canteen</i>
003	-	<i>All security staff at respective positions</i>		<i>As appropriate</i>
004	0930	<i>Drill commence</i>		
005	1030	<i>Ship agent's representative and joining crew member to seek entry to the Port Facility, without prior notification</i>	<i>Screening to be undertaken by security staff</i>	<i>Security office</i>
006	1500	<i>Drill End</i>	<i>Dispersal of personnel</i>	
007	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 D116**

Type of Drill	<i>Access control - Personnel checks</i>
Drill Conducted	<i>Entry by ship crew / shipping agency / seafarer organization representatives without prior notice</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 1000 hrs.</i>
Duration	<i>2 hrs</i>
Controllers	<i>Mr GHJ, Manager, Safety and Security – Chief controller Mr KMJ, Ship agent's representative Mr PLK, Joining crew member, MV FVG</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. A ship agent's representative and a joining crew member reported to the security office at 1000 hrs seeking access to the Port Facility. Security staff had not been informed of the joining crew member because the ship agency "forgot" to notify the Port Facility.  2. Security staff checked the joining crew member's papers, and escorted them on board MV FVG.</i>



Lessons learnt	<i>In addition to checking his papers, security staff should have verified the joining crew member's status with the ship agency office. If verification could not be done with the office, the crew member should have been turned away.</i>
Follow-up action	<i>Security staff will be reminded of the need to verify the employment status of joining crew members with the ship agent's office if prior notification had not been received about crew members.</i>
Performance indicators	<i>1. Error rate – 1/1 2. The degree of compliance with Port Facility security instructions in handling:     a. Ship agent's representative – x%     b. Joining crew member – 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 ship crew / shipping  
agency / seafarer organisation  
representatives without prior notice**

Drill D116

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Entry by ship crew / shipping agency / seafarer  
organization representatives without prior notice

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 ship crew / shipping agency / seafarer organization representatives without prior notice

Drill number: 1/08

Date:

Start Time:

Location:

Estimated End Time:

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Entry by ship crew / shipping agency / seafarer organization representatives without prior notice

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 ship crew / shipping agency / seafarer organization representatives without prior notice

Specific Objectives

- To practice the entry procedures for pre-authorized personnel
- 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 ship crew / shipping agency / seafarer organization representatives without prior notice

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

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Entry by ship crew / shipping agency / seafarer organization representatives without prior notice

Control Team

- Chief Controller: PFSO, Mr. AAA
- Controllers
  - ✦ Ship Agent Representative – Mr. XXX
  - ✦ Ship Crew member – Mr. YYY

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Entry by ship crew / shipping agency / seafarer organization representatives without prior notice

Participants

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Entry by ship crew / shipping agency / seafarer organization representatives without prior notice

Scenario

- The Port Facility requires visitors to have prior appointments in order to access the premises, even if the appointments have to be made at the last minute
- A ship agent is taking a new crew member to join ship at the port facility, but has not made an appointment to do so



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Entry by ship crew / shipping agency / seafarer organization representatives without prior notice

Controller Mission



To gain unrestricted access through the Port Facility in order to join ship

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Entry by ship crew / shipping agency / seafarer organization representatives without prior notice

Controller Tasks

- Ship Agent Representative – Mr. XXX: To have valid long-term security pass issued by the Port Facility. To have personal identification document, but should not offer it unless demanded
- Ship Crew member – Mr. YYY: To have ship crew papers. To have personal identification document, but should not offer it unless demanded

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Entry by ship crew / shipping agency / seafarer organization representatives without prior notice

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	0900	Participant briefing		Staff canteen / Briefing Room / Etc..
003	-	All security staff at respective positions		As appropriate
004	0930	Drill commence		

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Entry by ship crew / shipping agency / seafarer organization representatives without prior notice

Master Events List

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
005	1030	Ship agent's representative and joining crew member to seek entry to the Port Facility, without prior notification	Screening to be undertaken by security staff	Security office
006	1500	Drill End	Dispersal of personnel	
007	1530	Debrief	Controllers and security staff to report findings and lessons learnt	Assigned room eg., Staff recreation room

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Entry by ship crew / shipping agency / seafarer organization representatives without prior notice

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 ship crew / shipping agency / seafarer organization representatives without prior notice

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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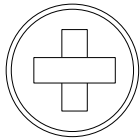
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Entry by ship crew / shipping agency / seafarer organization representatives without prior notice



Safety

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

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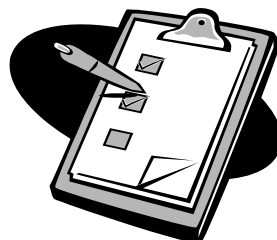
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Entry by ship crew / shipping agency / seafarer organization representatives without prior notice

Debrief

- Location:
- Secretary:
- Attendance
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Entry by ship crew / shipping agency / seafarer organization representatives without prior notice



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XYZ Port Facility  
Maritime Security Drill

Participants' Briefing

date

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Access Control – Personnel Checks

**Entry by ship crew / shipping  
agency / seafarer organization  
representatives without prior notice**

Drill D116

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Entry by ship crew / shipping agency / seafarer  
organization representatives without prior notice

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 ship crew / shipping agency / seafarer organization representatives without prior notice

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

Date conducted:

Objectives:

Lessons Learnt:

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Entry by ship crew / shipping agency / seafarer organization representatives without prior notice

Drill number: 1/08

Date:

Start Time:

Location:

Estimated End Time:

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Entry by ship crew / shipping agency / seafarer organization representatives without prior notice

**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 ship crew / shipping agency / seafarer organization representatives without prior notice

Specific Objectives

- To practice the entry procedures for pre-authorized personnel with long-term 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 ship crew / shipping agency / seafarer organization representatives without prior notice

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

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Entry by ship crew / shipping agency / seafarer organization representatives without prior notice

Control Team

- Chief Controller: PFSO, Mr. AAA



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Entry by ship crew / shipping agency / seafarer organization representatives without prior notice

Participants

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Entry by ship crew / shipping agency / seafarer organization representatives without prior notice

Scenario

- The Port Facility requires visitors to have prior appointments in order to access the premises, even if the appointments have to be made at the last minute
- Some may forget to make an appointment even if they are regular visitors, and others may be unaware of the requirement



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Entry by ship crew / shipping agency / seafarer organization representatives without prior notice

Port Facility Security Instructions

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Entry by ship crew / shipping agency / seafarer organization representatives without prior notice

Communications

Normal Port Facility security communications is to be used



- Telephone
- Walkie-Talkie
- Mobile phone

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Entry by ship crew / shipping agency / seafarer organization representatives without prior notice

Code words

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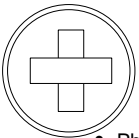
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Entry by ship crew / shipping agency / seafarer organization representatives without prior notice



Safety

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

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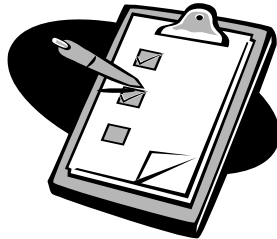
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Entry by ship crew / shipping agency / seafarer organization representatives without prior notice

Debrief

- Location:
- Secretary:
- Attendance
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Entry by ship crew / shipping agency / seafarer organization representatives without prior notice

Updates on the ISPS Code and local Regulations

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Entry by ship crew / shipping agency / seafarer organization representatives without prior notice

Developments in Maritime Security



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Entry by ship crew / shipping agency / seafarer organization representatives without prior notice



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