



# **BOOK OF MARITIME SECURITY EXERCISES**

## **E1 – PRINCIPAL EXERCISES**

### **PART 1**

#### **GUIDELINES FOR THE PLANNING AND CONDUCT OF MARITIME SECURITY EXERCISES**

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## INTRODUCTION

1. The changing maritime security environment has meant that ports and Port Facilities must examine scenarios or situations of increasing complexity. Where it may have been adequate to plan for events of significant probability, there is a need, with the advent of indiscriminate terrorism, to consider situations of unlimited possibilities. Exercises provide the structured environment to step through the thought processes essential to contingency planning and reveal best solutions in any given set of circumstances.

2. An exercise, therefore, is a series of activities driven by a sequence of pre-planned events that are designed to set in motion the planning and deliberations that support those activities. Exercises are generally conducted as brain-storming and learning events based on a well-defined planning procedure adopted by an organization. They usually involve several agencies in the planning and conduct of an operation or task in a simulated environment. The conduct of an exercise is a major undertaking involving substantial resources in its planning, preparation and execution.

3. The ISPS Code recognizes the scale of exercises as possibly being beyond the scope of some Port Facilities, and thus indicates participation (Part A paragraph 18.4) by the Port Facility Security Officer in exercises for which the responsibility for conduct is directed at a level beyond the Port Facility (Part B paragraph 18.6).

## AIM

4. The aim of these guidelines is to provide an understanding of the processes involved in the planning and conduct of an exercise at the level of one or more State security agencies and/or maritime entities such as the port facility (PFSO), shipping company (CSO) and Ships (SSO). This will allow the Port Facility to relate to the activities upon their participation in such exercises, as well as draw upon those processes to augment and enhance their own procedures.

## OBJECTIVES

5. The primary objectives for the conduct of maritime security exercises are to practice or validate the command, control and communications procedures and channels between and among the various agencies and entities responsible for the detection, deterrence, prevention and reaction to security threats to the maritime community. Exercises will involve the organizational, or management level of a Port Facility, and rehearse personnel in their crisis management skills, to develop a high level of preparedness against maritime security threats. The principal objectives are:

- a. To review and exercise security contingency plans against maritime security threats.
- b. To practice the command, control, coordination and communications arrangements.



- c. To exercise the responses to specific maritime security threats.
- d. To validate new processes and resources to be deployed.

## PLANNING

### 6. **Lead Agency**

Exercises may be convened by any organization with the expressed need, and authority to do so. The convener may be known as the lead agency, which may be the head of a multi-agency organ of State responsible for maritime security, or State security forces, or a Port Facility.

### 7. **Schedule**

- a. The ISPS Code requires that exercises “should be carried out at least once each calendar year with no more than 18 months between the exercises”. As exercises may be conducted over several days, and may therefore impact on the normal business of Port Facilities, an appropriate period in the annual work plan should be identified to minimize the possibility of disruptions both to the normal work of Port Facilities, and to the exercise. The exercise should be scheduled as part of the planning for the following year’s activity.
- b. A time-table for the development and conduct of the exercise will allow the exercise to be managed methodically. An example of a time-table is shown below:

<b>DAYS TO EXERCISE</b>	<b>DATE</b>	<b>EVENT</b>
D -60		Notify stakeholders of the impending exercise, and seek their participation (specify the type of exercise to be conducted and confirm the exercise date)
D -50		Seek nominations for controllers and participants
D -45	(calendar	Select members of the Exercise Planning and Control Team from the participating agencies. (a balance must be found between the inclusion of all stakeholder representatives in the EPCT, and the potential for an unwieldy EPCT)



DAYS TO EXERCISE	DATE	EVENT
D -40	dates to be	Convene the Initial Planning Meeting (see Appendix 3 for the agenda). Brief the controllers Refine the scenario synopses Adjust the Master Events List
D -30	inserted)	Promulgate the Exercise Administrative Instructions
D -1		Brief participants
D to D+4		Conduct the exercise
D +5		Conduct the debrief and record the lessons learnt
D +7		Record the conduct of the exercise
D +10		Report the conduct of the exercise to management

c. If Contracting Government agencies and/or the Designated Authority schedules and conducts maritime security exercises on an annual basis and involves Port Facilities in these exercises, Port Facilities should plan to incorporate their exercises within the scenario of the Authority's exercise.

## 8. Exercise Planning and Control Team (EPCT)

a. Exercises should be developed and conducted by a team, which may be called the Exercise Planning and Control Team (EPCT). The EPCT will be headed by a Chief Controller who shall be responsible to an Exercise Director for the successful outcome of the exercise. The Exercise Director is in overall charge of the exercise, and has responsibility for the actions of the exercise controllers i.e. those who manage the exercise, as well as the exercise participants i.e. those who are being exercised. See [Appendix 1](#) for the responsibilities of the Exercise Director.

b. Under the Chief Controller in an EPCT, will be Higher Controllers, and Lower Controllers.

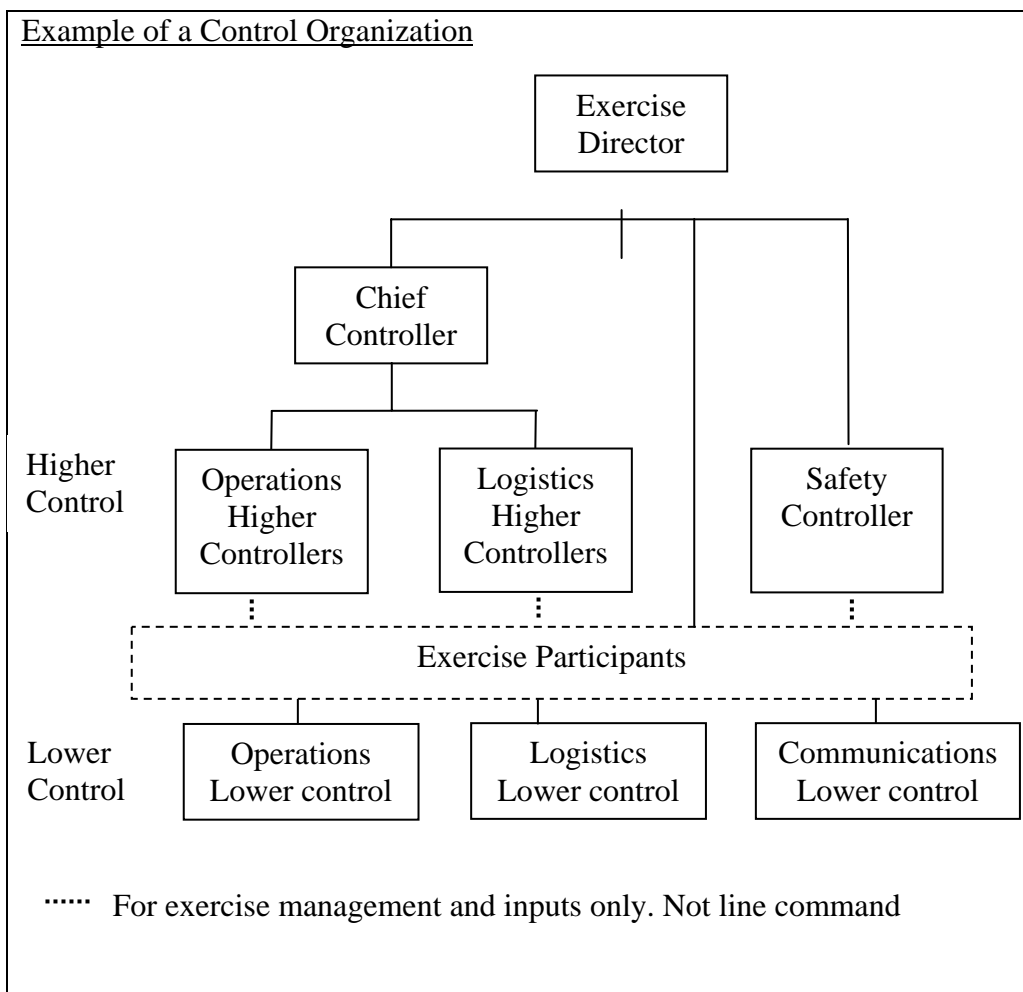
(1) Higher Controllers conduct the exercise and govern the direction of the exercise as it unfolds. They do not maintain any line authority over the participants, but may, if the exercise situation demands it, provide responses, in the form of injects, as the authorities to whom the exercise participants would ordinarily report in the course of their duties.



- (2) Lower controllers are mainly required during the execution phase of tabletop simulation exercises. They will act as the subordinate persons or entities that exercise participants give directions to, and can expect a response or report from. Usually, they will come from the same organizations as the participants<sup>1</sup>.
- c. Participating organizations should be requested to nominate senior management-level personnel to the EPCT as Higher Controllers, and operational level personnel as Lower Controllers.
- d. Higher and Lower Controllers are required not only to lend direction to the exercise, but also because not all parties in an organization will participate in an exercise (especially in tabletop simulation planning exercises) yet their inputs are necessary for the events to unfold. See [Appendix 2](#) for the responsibilities and tasks of the controllers.
- e. Participants playing the part of the adversary are likely to be required in any scenario. In a tabletop simulation exercise, they will participate as lower controllers, and, if a State agency's electronic battle simulator is to be used to enhance the execution phase, they become the crew of various adversary forces played in the simulator. In a deployment exercise, actual assets must be assigned to plan and deploy as the adversary.

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<sup>1</sup> In full scale or deployment exercises, lower controllers may be required to role-play as the “adversary” to inject issues for response by the exercise participants - deployed forces or the table-top participants to act on.



## 9. Participants

Participating organizations should be requested to nominate senior management-level personnel who will be responsible for planning the operations or tasks to be undertaken by their respective organizations. See [Appendix 3](#) for the roles and functions of the participants.

## 10. Exercise Planning Conferences

Planning meetings or conferences should be scheduled in the exercise time-table. The number and frequency of planning conferences will depend on the complexity of the exercise, in particular whether there will be deployment of forces in the field or if it is to be a tabletop simulation exercise; and the scope of participation i.e. participants from different agencies. An example of an agenda for the Initial Planning Conference is given in [Appendix 4](#).





## 11. Exercise objectives

The first task is to establish the aims and objectives of the exercise. It is useful to describe general and specific objectives so as to be very clear on what is to be achieved. Inputs for the objectives may be obtained from:

- a. The Port Facility Security Plan: Aspects of the Port Facility Security Plan which would not ordinarily be carried out in the normal course of business may be the subject of an exercise e.g. the instructions and tasks associated with compliance to change of Security Level as ordered.
- b. New factors: Changes to the physical, organizational, operations, logistics, administrative or threat environment may impact on maritime security. The effect of such changes should be examined in detail, and the examination may be part of an exercise requirement or objective.
- c. Lessons learnt: The records from previous exercises should be re-examined for the lessons learnt. These will point to the measures implemented after the exercise, and possibly the need to assess the effectiveness of those measures in a new exercise.

## 12. Exercise concept

Exercises may be conducted in phases, as follows:

- a. The first phase usually involves planning for an operation or task given a general or specific threat and a set of planning parameters such as the aim of the task, the resources assigned for the conduct of the task, and the time frame it is to be conducted within. The planning results in the formulation of a plan which is published as a set of instructions to be conveyed to those who are to carry out the plan. An exercise may be designed to end at that point, in which case the product of the planning, having been approved by the management authority, is documented as a plan for the conduct of the operation or task.
- b. The next phase is the conduct or execution of the task. For the conduct, the plan has to be issued as a set of instructions. The instructions are time, space and resource specific, and may be performed in an exercise as follows:
  - (1) Simulation – The conduct of the mission may be performed as a simulation, in which those responsible for the conduct of the task are directed by the planners to carry out the tasks in a role-playing game. Lower controllers may play the part of the entities to be prosecuted in the mission, and/or they may play the part of those who are directed to carry out the task. Their role is to provide the feedback on the outcome of the various activities associated with the task.



(2) Full scale or live – The conduct of the task may see the actual deployment of some of the resources specified in the instructions for the task. In such full scale or live exercises, adversary forces will also have to be deployed, and these are Lower Controllers who respond according to the needs of the exercise objectives and as directed by the Higher Controllers.

### 13. **Scenario**

The setting or scenario for an exercise may describe a maritime security situation that resonates with all participants i.e. they will be able to recognize, identify with; and relate to the situation, and craft responses to its demands as the exercise unfolds. The storyboard will set the scene and focus all participants on the events.

### 14. **Master Events List**

a. The Master Events List is a list of events associated with the scenario that, when initiated in turn, may reasonably be expected to elicit a response from the participants that will generate a specific outcome or learning point. Thus, their formulation should be based on the exercise objectives, which may be to validate specific aspects or processes within a plan.

b. The Master Events List may be used to direct the exercise along a pre-determined trajectory, but should be subject to adjustments - additions/deletions as the exercise unfolds, particularly if these are needed in order to meet the objectives set. The events, or “injects” may be time-based or event-based, i.e. the next episode on the list will be initiated by a specific assigned time, or by the occurrence of a particular event e.g. the reaction of a participant. Controllers should evolve the scenario by exercising their imagination, creativity and discretion in formulating new events and injects as each is responded to by the participants.

c. Injects should not swamp participants’ ability to respond. This will be self-defeating, as it often results in disbelief and dissatisfaction, and invariably detracts from the usefulness of the exercise. A Master Events List is usually drawn up as a table incorporating columns for the time, event number, details of the event, the anticipated response from the participants, and any special notes. An example of a Master Events List is given in [Appendix 5](#).

### 15. **Communications**

Various communications means will be required to plan and conduct the exercise. These range from written instructions to wireless communications. It is recommended that the responsibility for communications during the exercise be specifically assigned.



a. Exercise Instructions – Written instructions should be published to cover the intentions, objectives, schedule; and personnel, communications, logistics and administrative arrangements for the exercise. A set of administrative instructions may be published for the EPCT activity and another for all, both planners and participants. An example of an administrative instruction is given in [Appendix 6](#).

b. Means of Communications - The communications means and channels established under the existing Security Plans should be employed by the participants, unless a new communications arrangement is being tested during the exercise, or if special communications equipment and/or procedures are to be implemented at higher Security Levels. These communications channels must be set up for the flow of instructions, messages and reports that will be generated during the exercise. These communications channels should replicate those that will be employed during an actual operation, and will include communications security considerations and equipment where necessary. In addition, exercise Controllers will require a separate channel of communications among themselves. In all these cases, arrangements for the equipment and procedures will need to be made, a communications plan ([Appendix 7](#)) promulgated and the communications tested prior to the commencement of the exercise.

c. In full scale or live exercises, the entire range of communications means should be employed for the conduct of the exercises. With tabletop simulation exercises, communications may be verbal, or in the form of email or paper messages passed physically between participants, and between controllers and participants. Verbal messages should be recorded in a message log. Paper messages with simple headings like “Date”, “Time”, “From”, “To” and if required, “Security Classification” and “Precedence” (indicates the priority the message should be accorded) should be filed. These constitute a record of the exercise proceedings. They are useful for the debrief, and may be destroyed thereafter.

d. Code words are used to provide brief, secure and unambiguous communications during the conduct of an exercise. Some suggested code words are given in [Appendix 8](#). Code words may be generated for a specific pre-arranged action or series of actions designed to achieve a specific outcome, and/or where communications security is needed. The code words must be promulgated to all controllers and participants of the exercise

## 16. **Logistics**

Various logistics resources may be needed for an exercise. The logistics demands of full scale or live exercises will be substantially greater. Some requirements that may have to be considered are:



a. Rooms

(1) Planning room - This will include planning rooms for controllers and participants. Different levels of participation within an organization may require the use of different rooms for planning.

(2) Control room – Where possible, a room separate from the planning room should be provided, from which the operations are to be controlled. Most ports and port facilities will have such a room and should appropriately use those for the purposes of the exercise. It then becomes important that there is a clear demarcation and understanding of the procedures relating to the exercise, and those of the day-to-day operations of the Port Facility. Alternatively, a separate control room for the exercise may be established, along with the command, control and communications services. The control room should be equipped with the following:

(a) A large Situation Map covering the geographical area of responsibility, on which may be displayed the activity of interest.

(b) Stateboards providing a visual display of the status of various aspects or components of the operation, such as:

- i. Operational status (e.g. ships loading status)
- ii. Deployment status (e.g. of vessels and vehicles)
- iii. Equipment status
- iv. Personnel status
- v. Logistics status (e.g. of critical supplies)

(c) Communications means – All communications facilities for the conduct of the operations must be available in the control room.

Note: 16.a.(2)(a) and 16.a.(2)(b) may be in electronic form

(3) Controllers Room – Controllers should have a room in which to discuss aspects of the exercise and plan the adjustments to the exercise, new initiatives, etc.

(4) Staff rest room – If the exercise stretches over days and personnel are expected to be on-site over extended periods, the rest room may also have to include sleeping facilities.

b. Victuals – Where staff have to operate 24 hrs, special catering arrangements may have to be made, especially if the Port or Port Facility is in a remote or offshore location where victuals are not readily available nearby.



- c. Office equipment and supplies – These will be required to support the planning, and will include computers, photocopiers, printers and stationery.

## 17. Administration

Where unusual numbers of personnel or their movement is expected as a result of the conduct of an exercise (e.g. personnel from other company offices or the head office, State administrations, and security forces), some administrative arrangements will be required. These include:

- a. Security passes – Personnel will require the issue of temporary security passes for access during the exercise. Consideration should be given to separate “participant” and “controller” passes, and the control of movement indicated by such passes whereby participants may not have access to control areas such as controller planning rooms.
- b. Car parks – Where an influx of other personnel is expected for the exercise, car park space will have to be assigned to avoid unnecessary conflicts over parking rights.
- c. Termination - The administrative instructions should include the actions and activities relating to the end of the exercise, such as:
  - (1) Assembly or re-deployment of personnel.
  - (2) Return, accounting or disposal of materials and equipment.
  - (3) Restoration and making-good of property.

## 18. Budget

Some expenditure is to be expected for the conduct of exercises, for logistics and administration. Where the conduct of the exercise is to be out-sourced to a Recognized Security Organization, this cost should be taken into consideration for the budget. Exercises should therefore be included in the annual budget of the organization.

## 19. Safety

An independent body answerable directly to the Exercise Director is required to oversee the safety aspects of a full scale or live exercise. The safety officer assigned for a full scale or live exercise should consider the scenario, the Master Events List and all vessels, vehicles, equipment and personnel safety to be used in his safety review. The roles and functions of a safety officer are given in [Appendix 9](#).

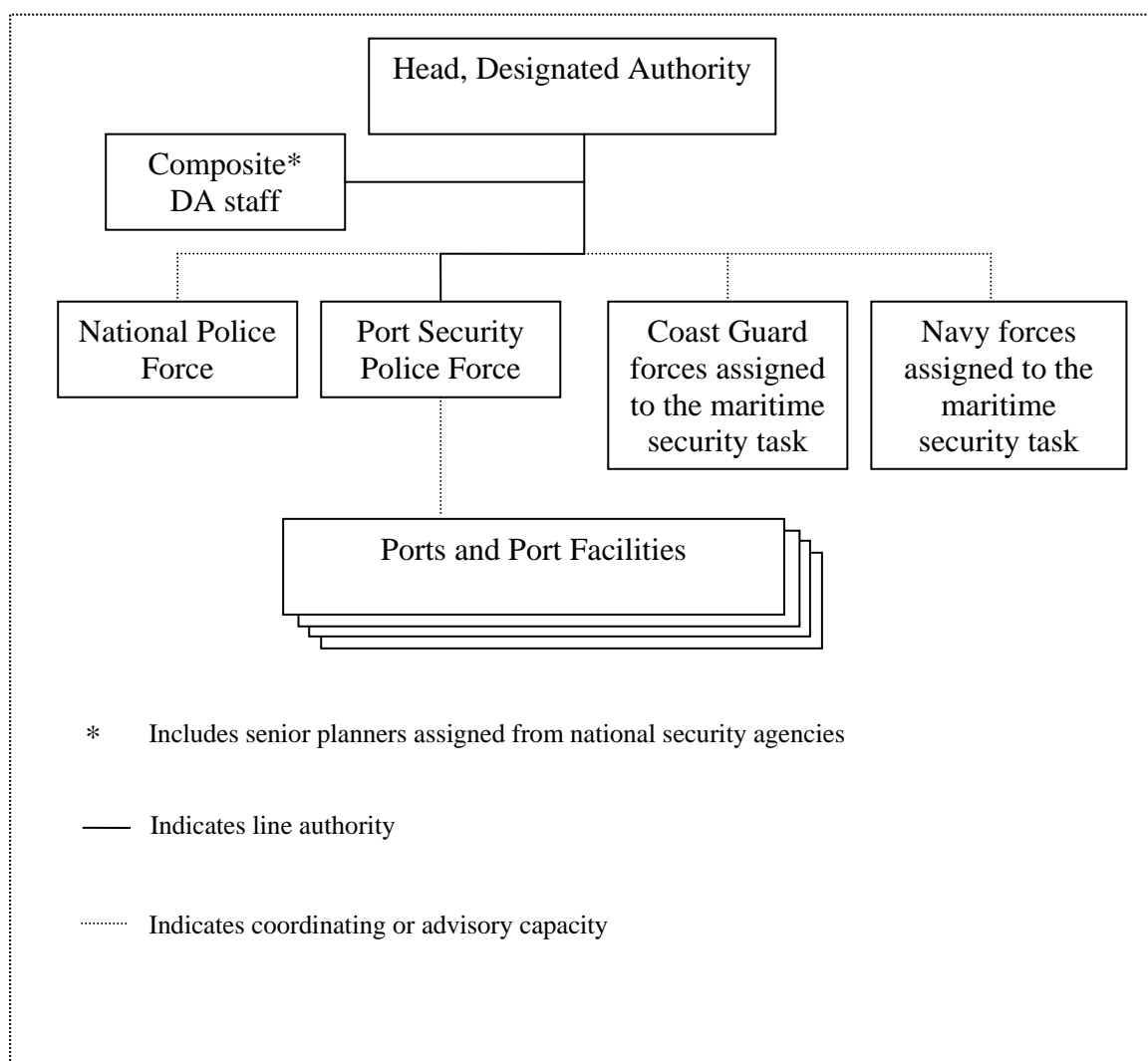
ENDORSEMENT

20. When planning is completed, a proposal for the conduct of the exercise should be prepared. This may be a written paper or an oral submission to the top management, depending on the organization culture, but it is suggested that a documented proposal will serve to crystallize the concepts for clarity.

CONDUCT OF THE EXERCISE

21. **Organization**

As an aid to understanding the processes in an exercise, a fictitious temporary national organization with broad responsibility for maritime security is given as an example<sup>2</sup>.



<sup>2</sup> Respective Economies will need to draw parallels to this generic organization



## 22. Task Instructions

a. Operations are generally directed by a set of written instructions. These Task Instructions, at each respective level, initiate the planning processes that lead to the conduct of an operation or task. The product of the planning process is a set of Task Instructions for subordinate forces at the next lower level. Given the example organization above, the appointed head to represent the Designated Authority supervises the development of an operations plan by his operations staff, made up of personnel from his own agency as well as representatives from national security agencies. This plan may be promulgated as a set of Task Instructions to all those agencies with responsibility for the maritime security task as pre-determined at the national level. In the example<sup>3</sup>, these will be the Port Security Police Force (PSPF- as appropriate), the national Police force, the Coast Guard and the Navy. Each will have tasks assigned in the Task Instructions. It then becomes their responsibility to plan their tasks in support of the maritime security plan. Each will, upon formulation of their respective plans, promulgate their own Task Instructions to their subordinate forces. In the example, the PSPF, having responsibility for maritime security in ports and port facilities nationwide, will address the requirements and contributions of these ports and port facilities toward the maritime security effort, and instruct as much in their own Task Instructions. Upon receipt of the PSPF Task Instructions, ports and port facilities will examine the requirements, and perform their own planning in support of the overall maritime security mission. On their part, ports and port facilities may also promulgate Task Instructions to their staff.

b. The Task Instructions that are promulgated are as follows:

(1) Preliminary Instructions alert operations staff to the possibility of an impending operation or task, and the need to plan for the operation. It will contain elements of the intentions, the likely tasks, the possible forces that may be assigned to the task, and the possible time frame for the operation. Upon receipt of the Preliminary Instructions, the operations staff should begin considering their task. Operations staff in turn will issue their own Preliminary Instructions to their subordinate entities.

(2) Task Instructions – When the operation is confirmed, planning will commence, and the resulting operations plan promulgated as a Task Instruction. The Task Instructions directs an operation to be conducted, defining the aim and purpose, and specifying the time and space, and the command, control, communications and support functions.

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<sup>3</sup> Respective Economies will need to draw parallel to this arrangement



### 23. **Planning**

Various planning processes are available to guide the development of a plan for the conduct of a task. The common denominator is that they all embody some form of logical, methodical and systematic approach to problem solving. The process associated with the maritime security domain is based on the:

- a. Guidelines provided in ISPS Code Part B articles 15 and 16.
- b. “Threat Evaluation and Risk Assessment” advocated in the ISPS Code and the recently established ISO DIS 20858 - Ships and marine technology — Maritime port facility security assessments and security plan development

### 24. **Plan**

An Operations Plan has all the elements of a Task Instruction, and is prepared based on realistic threat as analyzed, using the guidelines from the ISPS Code and the ISO DIS 20858 methodology. Thus, the scenario in an Operations Plan based on the contingency scenario that present itself shall transit into Task Instructions for implementation. An example format for an Operations Plan/Task Instruction is given in [Appendix 10](#).

### 25. **Time-Table**

A planning time-table should be published. Planning durations would depend on the time available before the mission must be embarked upon, but with experience, time norms may be established for the planning process. An example of an operation planning time-table is given in [Appendix 11](#).

### 26. **Briefings**

There are two forms of briefings practiced commonly in the course of an exercise, as follows:

- a. Administrative brief - Participants should be briefed on the Aim(s) and Objectives, the Organization, and the Administrative Arrangements for the exercise. Where relevant, and particularly at the lower echelons, the lessons learnt from previous exercises of the same nature should also be reviewed at the briefing.
- b. Operational brief – This is integral to the planning process. At each level to which Task Instructions are issued, where practicable, operational briefings should be conducted on the Task Instructions, followed immediately by the issue of the written Task Instructions prior to dispersal of the participants. This is to establish clear intent of the tasks assigned, and to provide opportunity for participants to seek clarification. Briefings may be dispensed with under the following circumstances:





- (1) Task Instructions issued to participants that are already deployed.
- (2) When the orders are relatively simple.
- (3) Where it is impractical to assemble unit representatives.

## 27. Exercise Initiating Conditions

The exercise scenario should paint the background events leading to the situation at the commencement of the exercise, providing the measures set in place by the national authorities, the adversary assessment as provided, and the conditions extant for the purposes of the exercise. The degree of specificity on the adversary will depend on the level of intelligence input it is desired to play. The first event from the Master Events List may also be used to commence the exercise. For example, this may be an incident that demands a response from security forces, and security measures to be enhanced, thus initiating the planning for the specific responses by the port facility.

## 28. Scenario Synopsis

Scenario synopses or narratives are provided by the exercise control to describe the situation at any stage in the exercise. They are usually used to provide the Exercise Initiating Conditions, and to advance the scenario to a next stage, e.g. from Security level 1 to 2, describing the events that led to the upgrade of the Security level; to provide the backdrop for significant learning benefit to be derived in progressing through the security plan. See paragraph 30b on “Time-Jump”

## 29. Injects

a. In planning for the exercise, the EPCT will compose events or “injects” to test various aspects of the plans so that the exercise objectives may be realized. These are entered in a table called the Master Events List, and introduced during the exercise to develop the scenario, and to initiate situations that would lead to planning or action that would in turn yield insights or lessons on aspects of the operation plan and/or its components. If necessary, pre-planned injects and the scenario may be modified as the exercise progresses to ensure that the exercise objectives may be met. Responses to the injects by the participants constitute the exercise “play”, and these may take the form of decision-making planning sequences or actual deployments, or they may be simulated, in the case of tabletop simulation exercises.

b. Injects may be issued to participants in a variety of ways. They may be verbal (and recorded in a communications log), hand-written in a message form, or sent via email. Communications security is an important consideration whichever means is used.



### 30. **Exercise Time**

- a. The time frame played during an exercise is usually fictitious, reflecting the events in the scenario and/or Master Events List.
- b. Narratives and Time-Jumps. Exercise activities in a tabletop simulation exercise may be performed in real-time, or when circumstances permit, at a specified rate, including the use of “time jumps”. Activities such as planning and meetings, etc. must be conducted in real-time, or “Rate 1”, which represents the passage of time multiplied by 1. Activities such as deployments of personnel, vehicles or vessels, during which no events or injects are scheduled may be performed at a higher specified rate e.g. “Rate 2” i.e. the passage of time multiplied by 2. This is usually practiced when the exercise is conducted using a simulator. Otherwise, it is more common to utilize “time jumps”, or narratives stating the situation at the end of a period representing, for example, the deployment of vessels to certain locations. Higher time rates and time jumps serve to nullify “dead time” in a tabletop simulation exercise where both participants and controllers would otherwise be waiting for routine activity to unfold. Such “rates” and time jumps obviously do not apply in the case of full scale or live exercises.

### 31. **Command, Control and Communications**

These are a principal focus of exercises in that there are often many command, control and communications issues both from an organizational as well as an equipping perspective to be ironed out during exercises. Where a number of different agencies are involved in the prosecution of a mission, command and control and areas of responsibility need to be clearly demarcated. Thus, exercises serve a useful purpose to identify and highlight the potential fault-lines for rectification and/or refinement.

### 32. **Termination**

Exercises are normally planned to end when the operations plan developed during the planning phase has been played out, either in simulation, or during the deployment phase. In addition, full scale or live exercises may be halted or even terminated by the Exercise Director for a number of reasons, including situations such as:

- a. Safety is compromised – Where the safety officer(s) or controller(s) observe that safety has become a concern, they should halt the exercise to address the concerns, and re-commence only when they are satisfied that the issues have been resolved satisfactorily.
- b. Difficulties or unforeseen events faced by controllers and/or participants in the conduct of the exercise – Any number of concerns or challenges may arise during the conduct of the exercise to warrant its suspension or termination.



## DEBRIEF

33. The primary purpose of debrief is to consolidate the lessons learnt and recommendations from the conduct of the exercise. Thus, debrief is an essential part of the exercise and must not be omitted. Prior to conduct of debrief, each operating group or force should conduct their internal hot washups (debriefs). Where a full scale or live exercise has been conducted, debriefs by the participants deployed should be conducted as soon as possible after their return. For efficiency, debriefs should not be a blow-by-blow review of the exercise. They should highlight issues of special concern for revision or future development. The following areas may be considered:

- a. Elements of the plan
- b. Challenges in execution
- c. Command and control
- d. Communications
- e. Human resource and logistics
- f. Administration

## REPORTS

34. A written report to top management must follow the conduct of an exercise. The report serves as a record of the event with the focus being the lessons learnt from the exercise, and the recommendations for follow-up action.

35. Where drills are incorporated as the live component of the exercise, the contents of the report pertaining to the live aspects may be drawn from examples provided in Volume I Parts 1 and 2. These pertain to ground issues and are SOP-related. Where both inject and responses in tabletop simulation exercises are simulated through “paper play”, SOP-specific issues generally need not be commented upon. Thus, headings in the report should include:

- a. Exercise aim and objectives
- b. Date, time and duration
- c. Controllers and participants
- d. Significant events
- e. Lessons learnt
- f. Follow-up action

36. In addition to the written report, a briefing on the exercise should be given at a management meeting to apprise top management of the proceedings. This will allow issues requiring management intervention to be given due attention, especially those involving budget requirements for actions to be taken as a result of lessons learnt during the exercise.



## RECORDS

37. The ISPS Code requires that exercises should be carried out at least once a year. A simple record of the conduct of the exercise may be kept as evidence of compliance. This record may be included in the ISPS Drills and Exercises Record Book (see Appendix 5 to Volume I Part 1).



## **RESPONSIBILITIES OF THE EXERCISE DIRECTOR**

1. The Exercise Director is usually a highly-placed individual appointed by the exercise convener viz. the authority or lead agency that determines the requirement for the exercise.
  
2. The Exercise Director is in overall charge of the exercise and is the final authority on all matters pertaining to the exercise. He is responsible for the controllers in planning for the exercise, and the controllers and participants in the conduct of the exercise. In addition, he shall:
  - a. Determine the exercise objectives
  - b. Determine the participating organizations
  - c. Approve the exercise schedule
  - d. Coordinate with personnel in key leadership positions for participation by the identified organizations
  - e. Approve the controllers and participants
  - f. May act as the lead agency's representative in approving the plans developed during the exercise by the participants
  - g. Be the sole arbiter of scenario developments should there be any doubts over the direction of the exercise
  - h. Be the sole arbiter in any conflict resolution
  - i. Manage the media exposure for the exercise on behalf of participating organizations



## **RESPONSIBILITIES AND TASKS OF CONTROLLERS**

1. Any activity benefits from good management, and an exercise is no different – in order to ensure success, it must be properly managed. Therefore a manager or team of managers must be assigned to plan and conduct the exercise. In training parlance, they are generally known as Controllers, and the head of the team is known as the Chief Controller.
2. Controllers are responsible to undertake the following:
  - a. Plan the scenario for the exercise
  - b. Identify the control team members and the participants
  - c. Work out the time-table for the exercise
  - d. List the injects or events that will take place during the exercise, relating each inject or event to a specific objective to be achieved or the development of the scenario for the exercise
  - e. Arrange for the logistics and other resources such as communications, etc. for the conduct of the exercise
  - f. Brief the participants on the nature, objectives and required attainments for the exercise
  - g. Conduct the exercise by initiating and developing the scenario using the injects so that participants may respond
  - h. Prepare and issue the initiating Preliminary Instructions for the operations/tasks
  - i. Prepare and issue the Task Instructions for the operations/tasks
  - j. Identify areas for improvement in procedures, materials or resources for the performance of the maritime security task that is the subject of the exercise
  - k. Identify initiatives, good work and deficiencies in the performance of the participants
  - l. Terminate the exercise at the end of the scenario or when the objectives have been achieved



- m. Arrange for the stowage or disposal of materials and resources used during the exercise as appropriate
- n. Conduct the debrief to gather feedback on the lessons learnt from the exercise
- o. Prepare the report to management on the conduct of the exercise
- p. Enter a record on the exercise in the organization's official record of events



## **RESPONSIBILITIES AND TASKS OF PARTICIPANTS**

1. Participants refer to those personnel and teams who are the subject of the exercise i.e. they are the ones being exercised. There may be more than one level of participants in the hierarchy of an organization, subject to the scale of the exercise and the scope of the organization's involvement in it. Each level will be required to plan operations or tasks assigned to the organization, and these plans are subsequently issued to the next subordinate level in the form of instructions, for execution. Prior to execution, the level receiving the plans may be required to plan in further detail if they in turn have subordinate forces or entities to distribute instructions to.
2. Participants will, during the exercise:
  - a. Organize themselves to plan all aspects of an operation or task assigned to them and their respective subordinates. This will involve:
    - (1) Intelligence
    - (2) Operations
    - (3) Logistics
    - (4) Administration
    - (5) Communications
  - b. Attend briefings convened by their higher authority to receive their orders and instructions for the tasks they are assigned.
  - c. Analyze the orders or instructions received.
  - d. Plan their operation or task using a systematic planning process.
  - e. Obtain approval of their plan from their relevant authority.
  - f. Prepare a written Operations Plan or Task Instruction.
  - g. Brief their subordinate forces on the task being assigned to them.
  - h. Promulgate the Operations Plan or Task Instruction.
  - i. Command and control their forces in the execution of the plan, in a tabletop simulation or full scale or live activity.
  - j. Provide feedback on lessons learnt from the exercise from the participants' perspective.





**INITIAL PLANNING CONFERENCE**  
**AGENDA**

1. Exercise objectives
2. Command and control – lead agency and personnel
3. Type of exercise – tabletop simulation or full scale/live
4. Scope of exercise – participating organizations and level of participation i.e. personnel/forces to be committed to the exercise
5. Exercise time frame
6. Scenario for the exercise
7. Narratives for the exercise scenario
8. Master Events List
9. Written Preliminary Instructions and Task Instructions
10. Communications support
11. Administration
12. Logistics
13. Funding



**EXAMPLE MASTER EVENTS LIST**

<b>SERIAL NO.</b>	<b>TIME</b>	<b>EVENT/INJECT</b>	<b>EXPECTED RESPONSE</b>	<b>LOCATION / REMARKS</b>
1701	0900	Convening meeting and issue of the exercise scenario synopsis no.1 and start-state	All to familiarize themselves with the exercise scenario; and the physical, administrative and logistics arrangements for the exercise	Conference room
1702	1300	An intelligence report of terrorist preparations to create unrest in the country has been received	Scenario build-up – no specific response expected	Operations control room
1703	1400	Port Facility ABC reported that an unknown vessel was seen drifting offshore with persons on board using binoculars to scan the Port Facility	Scenario build-up – no specific response expected	Operations control room Respective operations cells
1704	1430	Passenger Terminal DEF reported that a break-in had occurred in its Control Room and information on liner schedules for the next 3 months had been stolen.	Participants should express concern over the security situation	Operations control room Respective operations cells
1705	1500	Issue of Preliminary Instructions by the Designated Authority	Participants to prepare their own notification to their respective organizations.	Operations control room



SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION / REMARKS
1706	1700	Designated Authority orders increase of Security Level from Level 1 to Level 2	<u>Tabletop simulation:</u> Messaged instructions passed from participants to lower controllers to direct the actions to be taken to comply with the increase in Security Level <u>Full scale or live:</u> Actual deployments of forces, personnel and equipment to attain the planned measures for Security Level 2	Operations control room
1707	1730	Issue of exercise scenario synopsis no. 2 - An intelligence report is received of a terrorist threat to conduct large scale attacks using all means at their disposal to disrupt the economy by targeting shipping	Dissemination of the intelligence report	Respective operations cells
1707	1800	Issue of Task Instructions	Participants commence planning for their respective operations/tasks	Conference room
1801	0200	Participants present their plans	Depending on the command and control relationships, plans may either be approved or noted	Conference room
1802	0400	Forces are deployed	<u>Tabletop simulation:</u> Messages passed between participants and lower controllers to simulate deployments <u>Full scale or live:</u> Actual deployments	Operations control room



SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION / REMARKS
1803	0830	Port Facility JKN reported that they had intercepted a van with a suspected bomb in a package attempting to enter the Port Facility to make a delivery to a ship alongside. The deliveryman had invalid documentation.	<u>Tabletop simulation</u> : Messages passed between participants and lower controllers to simulate deployments e.g. of a National Guard bomb squad <u>Full scale or live</u> : Actual deployments	Respective operations cells
1804	1000	Designated Authority orders increase of Security Level from Level 2 to Level 3	<u>Tabletop simulation</u> : Messaged instructions passed from participants to lower controllers simulating actions to be taken to comply with the increase in Security Level <u>Full scale or live</u> : Actual deployment of forces, personnel and equipment to attain the planned measures for Security Level 3	Operations control room
1805	1100	Passenger Terminal DEF reports that its central database computer has been hacked into and immigration clearance of passengers has been delayed, causing a large number of passengers to be stranded ashore and waiting in the terminal to return to their ship	Passenger Terminal DEF should increase efforts at security screening.	Operations control room Respective operations cells



SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION / REMARKS
1806	1200	Passenger Terminal DEF reports that a suicide bomber had been apprehended after he charged into the crowded terminal and attempted to blow himself up, but the bomb failed to explode	Bomb threat response procedure should be activated by participants	Operations control room Respective operations cells
1807	1600	All participants report that they are operating at Security Level 3		Conference room
1808	1700	Exercise end	Dispersal of personnel and equipment as planned	

Notes:

### Serial Numbers

Serial numbers serve to identify an inject. Identification of an inject by a serial number allows it to be quickly and accurately referenced while communicating. There are several different ways to treat serial numbers, as follows:

- Simple serial number: This uses a two to four digit number e.g. 01, 001 or 0001. The number of digits used depends on the expected number of injects.
- With date: This prefixes the date to the serial number e.g. 1701 means the first inject of the 17<sup>th</sup> day of the month
- With date and time: This uses the date and time as the serial number, and dispenses with a separate TIME column e.g. 170930 means 17<sup>th</sup> day of the month at 0930 hrs



**ADMINISTRATIVE INSTRUCTIONS FOR  
THE CONDUCT OF EXERCISE JHK**

**INTRODUCTION**

1. *Exercise JHK is a maritime security exercise to be conducted at HYT harbor from 22 Oct XX to 26 Oct XX by the National Maritime Authority. It will be led by the Coast Guard, and involve the forces of the Coast Guard, Police, National Guard (volunteer home defence paramilitary force) and ports and port facilities in HYT harbor.*

**AIM**

2. *The aim of these instructions is to inform all participants of the administrative arrangements for the exercise.*

**SCOPE**

3. *Exercise JHK is a tabletop simulation and limited live exercise. The primary focus of the exercise will be the tabletop planning phase. The live exercise phase will deploy some Coast Guard and National Guard forces within HYT harbor, and at selected ports and Port Facilities. Police participation will be limited to reaction forces.*

**PARTICIPATION**

4. *The Exercise Director is Mr. YHB, Chairman, Designated Authority.*

5. *Exercise Planning and Control Team*

- a. *Chief Controller – Capt. TGY, Coast Guard*
- b. *Operations Controller 1 – Cmdr. YHN, Coast Guard*
- c. *Operations Controller 2 – etc.*

6. *Participants*

- a. *Coast Guard HQ, HYT Harbor*
- b. *Coast Guard Unit 35*
- c. *National Guard detachment NH3*
- d. *Police, represented by Supt. RDT*
- e. *HYT Port 4, represented by Mr. FVG*
- f. *THB Storage PLC (Port Facility), represented by Mr. GBH*
- g. *HJN Power PLC (Port Facility), represented by Mr. RDA*



CONVENING ADVICE

7. *Exercise briefing and issue of Operations Order will be held at the HYT Harbor Coast Guard HQ conference room on 22 Oct XX at 0930 hrs. All controllers and participants should attend.*

ADMINISTRATION AND LOGISTICS

8. *Security Passes - All personnel must have their identity documents for registration, and bring 1 passport photograph for the exercise security pass, which will be printed and issued upon arrival. Entry to the exercise venue will thereafter be permitted for security pass holders only.*

9. *Car Park - It is estimated that adequate car park facilities are available. Car passes will be issued at the security pass station.*

10. *Computers - Personnel requiring PCs for processing documents are requested to bring their own Notebook PCs. Power supply points, printing and limited projection facilities will be provided. Documents to be printed should be saved on thumb drives. All PCs and memory devices will have to be submitted for virus scanning upon entry and for deletion of exercise documents upon exit – no exercise documentation is allowed to be removed from the Coast Guard HQ. Please minimize the files brought in with your PC, and allow for ample time upon exit for checking.*

11. *Stationery - All stationery for the exercise will be provided.*

12. *Victuals - Beverages (24 hours) and light snacks (at 2300 hrs only) will be provided free at Coast Guard HQ. Meals may be purchased at the canteen, which will be open for breakfast, lunch and dinner.*

13. *Lounge - A common staff rest room will be made available.*

*Signed*

*Capt RFT  
Director, Operations,  
Coast Guard, HYT Harbor*



**EXAMPLE COMMUNICATIONS PLAN**

<i>Station</i> <i>Channel</i>	<i>PFSO</i> <i>Control</i> <i>Room</i>	<i>Security</i> <i>Guard,</i> <i>Fixed</i> <i>Stations</i>	<i>Security</i> <i>Guard,</i> <i>Roving</i>	<i>Ship /</i> <i>Vessels</i>	<i>High</i> <i>Control</i>	<i>Low</i> <i>Control</i>
<i>Telephone</i>	<i>X</i>	<i>X</i>	<i>-</i>	<i>-</i>	<i>X</i>	<i>X</i>
<i>Mobile</i>	<i>X</i>	<i>X</i>	<i>X</i>	<i>X</i>	<i>X</i>	<i>X</i>
<i>Marine VHF</i>	<i>X</i>	<i>-</i>	<i>-</i>	<i>X</i>	<i>X</i>	<i>-</i>
<i>Walkie-Talkie Ch 1</i>	<i>X</i>	<i>X</i>	<i>X</i>	<i>-</i>	<i>X</i>	<i>X</i>
<i>Walkie-Talkie Ch 2</i>	<i>-</i>	<i>-</i>	<i>-</i>	<i>-</i>	<i>X</i>	<i>X</i>



**CODE WORDS**

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

<b>CODE WORD</b>	<b>MEANING</b>
Exercise <i>Open Seas</i>	Exercise name (example only)
Exercise Start	The exercise is to commence
Exercise Hold	The exercise is temporarily suspended
Exercise Go	The exercise is to resume from where it was suspended
Exercise Abort	The exercise is to be terminated (prematurely)
Exercise End	The exercise is completed
For Exercise	The message or statement that follows this preamble relates to the exercise 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 exercise 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."



**ROLES AND FUNCTIONS OF AN EXERCISE SAFETY OFFICER**

1. To examine the plans for the exercise and perform a safety risk assessment check on the proposed events, injects and probable actions and their outcomes.
2. To endorse the plans after having been satisfied of their safety
3. To be present at the scene of action where the safety risk is assessed to be highest at any point during the conduct of the exercises to monitor the safety situation
4. To advise the Exercise Director of any potential breaches of safety
5. To intervene immediately if it assessed that safety is likely to be compromised by any of the ensuing action



## **EXAMPLE FORMAT FOR AN OPERATIONS PLAN/TASK INSTRUCTION**

### **OPERATIONS PLAN/TASK INSTRUCTION – OPERATION (codename)**

#### References:

Reference documents that are to be used in the performance of the instructions contained in the Operations Plan/Tsk Instruction and development of the plan e.g. ISPS Code, maps, charts, etc. are listed here

#### ORGANISATION

1. This is a wire diagram of the various entities under the authority or command and control of the organization issuing the Operations Plan / Task Instructions, and is usually given as an Annex.

#### INTRODUCTION

##### 2. **Background**

- a. Operations Plan: Assumptions of the political, economic and sociological situation that would lead to implementation of the Plan.
- b. Task Instructions: The background and intelligence assessments of the general situation leading to the need for the operation are described here.

##### 3. **Threat**

- a. Operations Plan: Analysis of the possible threats.
- b. Task Instructions: Analysis of the specific threats as described by State authorities or other sources.

##### 4. **Operating Area**

The expected area of operation is described, with special attention to features that are significant to the operation or task. Attention should be drawn to inferences from the study of the area that impact on the task, whether positively or negatively, and the effect on the actions to be taken should be highlighted.



## 5. **The Threat**

Intelligence assessments of the potential adversary and their intended targets are a critical success factor in a mission. The threat is analyzed in detail here and conclusions drawn that would critically influence the development of the plan. Of these, among the most important are the relative strengths of the opposing forces, as this would determine if more forces need to be assigned to the task. The inferences from the intelligence assessments and the assessment of the adversary's intentions and actions may be summarized in an Annex.

## 6. **Own Forces**

Forces of the higher authority and forces operating in adjacent areas or areas of responsibility that may impact on own operations or the tasks to be assigned to subordinates should be listed here, along with their tasks.

### OPERATION OR TASK

7. Operations Plan: Assumption of what the expected task is likely to be, its aim and purpose.

8. Task Instructions: This is a concise statement that includes the aim, purpose and location of the task. It will include a date and time of completion of the task.

### METHOD

9. The manner in which the operation is to be carried out is described in stages or phases of accomplishment. Who is to take what actions at which stage (when) of the operation is specified.

## 10. **Task Table**

The Task Table is given as an Annex to the Task Instructions, and is a tabulated summary of the method, broken down into the various elements of the task as assigned to various groups or components of the forces. It also specifies the pre-planned changes to the organization of the forces for the tasks in different phases of accomplishment e.g. when one component of the force is assigned to lead or support another in a different phase of the operation. Command and control of the task or various components of the task must be clearly spelt out here.



## 11. Rules of Engagement

This is applicable to agencies of the State, and specifies the conditions under which the use of force may be permitted e.g. “Terrorists with weapons may be fired upon using small arms, only in self defence”. Rules of engagement will change according to the state of the threat, usually offering fewer constraints as the threat increases. Port Facilities may choose to use this section to emphasize restraint instead, on the part of their own security forces.

## 12. Supporting Operations

These are tasks conducted in the same area by other forces that directly or indirectly provide a measure of support or assistance to one’s own operation.

## 13. Coordinating Instructions

These are operational instructions that apply to several groups of the force or the entire force, but in aspects that do not affect or impact on the operation per se e.g. search and rescue operations in the event of an emergency.

### SUPPORTING SERVICES

14. This covers the administrative, human resource and logistics arrangements. Where it is available as an integral part of the force, instructions on medical and fire-fighting services should also be included here. It will include the quantities and types of supplies, services and facilities to be provided, the entities responsible for providing them and where and when such supporting services are to be provided. The details are usually provided in a separate annex.

### COMMUNICATIONS

15. All the communications means and channels available to the force will be specified in an Annex. This is essential where radio communications is being used by different groups in a force, over several command levels.

Signature block

Annexes:

The details of the foregoing paragraphs are usually provided in annexes e.g.

- A. Intelligence Summary
- B. Task Table
- C. Communications Plan
- D. Support Plan
- E. Air Support Plan (where aircraft resources are involved)



**EXAMPLE OF AN OPERATIONS PLANNING TIME-TABLE**

GIVEN: 12 hours to expected commencement of mission

<b>TIME</b>	<b>ACTIVITY</b>
0000	Receipt of the Preliminary Instructions
0015	Perform preliminary examination of the possible operation or task
0030	Attend operation/task briefing and receive Task Instructions
0130	Analyze the assigned task
0200	Unit head issues his directions for planning
0215	Conduct of planning <ul style="list-style-type: none"><li>• Analyze the area of operations</li><li>• Examine the threat in relation to own resources</li><li>• Analyze the time and space aspects of the task</li></ul>
0330	Develop the plan
0430	Obtain approval of the plan
0500	Compile written instructions after adjustments to the plan, if any
0600	Brief subordinate forces and issue instructions
0630	Preparations for control of the operation
1000	Approve subordinate forces' plans
1100	Final coordinating meeting