



Exercise	FE21
Category	Port Facility Exercises
Type	Response to Security Threats
Security Level	1 and 2
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Vol II Part 1 – Guidelines for the Conduct of Maritime Security Exercises 4. ISPS Code Part A sections 16.3.3, 16.7 and Part B sections 15.9 to 15.12

INTRODUCTION

1. The security of a Port Facility depends not only on the careful planning and implementation of security measures, but also its response to threats to maritime security that may arise. Such threats may have been envisaged, or they may be unforeseen. They may be incidental, or they may be emergent or they may even be cyclical or seasonal.
2. While identifiable threats should be provided for in the PFSP, circumstances may not favor the implementation of the required provisions e.g. owing to the lack of funds. Nevertheless, these may be among the less worrisome, as they may be countered by operational responses, which are then specified as procedures in the PFSP. Unforeseen threats are the greater concern, as they are undefined, but they may also result in lower consequences. Emergent threats should be noticeable upon inception, and there should be time to react to them, as with cyclical or seasonal threats e.g. when calm seas prevail, allowing sea robbers to operate farther out to sea from small fast craft.
3. Responses to security threats should be pre-determined and specified in procedures in the PFSP. Ultimately, their effective implementation, and effective reaction to a surprise attack, will depend on the competence and capability of Port Facility personnel. Exercises contribute to personnel familiarity and readiness in responding to security threats.
4. These guidelines provide the basis for a discussion on a Port Facility's responses to security threats in the planning phase, and events for a tabletop simulation exercise in the execution phase. Selected drills from the APEC Manual of Maritime Security Drills and Exercises Volume I Part 2 may be incorporated to make it a full scale or live exercise.



AIM OF THE EXERCISE

5. The aim of this exercise is to practice personnel in their responses to security threats in order to enhance their competence in managing the maritime security task.
6. The principal objectives are:
 - a. To test and thereby validate the Port Facility's responses to maritime security threats, including the provisions for maintaining critical operations.
 - b. To practice the command, control, coordination and communications for security activities both within and beyond the Port Facility.

REQUIRED ATTAINMENTS

7. On completion of the exercise, new initiatives taken in the handling of security threats should be assessed, and if deemed suitable, acceptable and feasible, translated into procedures, or revisions to procedures in the PFSP.

PLANNING FOR THE EXERCISE

8. **Timetable**

The date for the conduct of this exercise should be scheduled in the Port Facility's annual work program. Preparations for the exercise should commence 4 weeks prior to the date of conduct. An example of a time-table for the preparation and conduct of this exercise is given in [Appendix 1](#).

9. **Exercise Planning and Control Team**

a. Exercise Director

The Exercise Director should be a member of senior management, preferably at the Deputy CEO or Director of Operations level. This level is advised because the Exercise Director is responsible for both exercise control as well as exercise participation.

b. Control Team

- (1) The control team for a planning exercise need not be very substantial. However, should it be desired to make it a full scale or live exercise by incorporating one or more drills, then the control team recommended for the drills may be nominated as well. It should not be necessary to duplicate the teams for each drill incorporated.



(2) The Chief Controller should be at the same level as the top-management individual whose portfolio includes responsibility for security at the Port Facility. In many cases, this could be at the Port Facility Security and/or Safety Manager level. This point is emphasized because planning and managing an exercise that involves a significant portion of the resources of a Port Facility may not be effective if the person assigned the task is from an inappropriate level.

- (3) Other controllers required are:
- (a) One higher controller (Operations)
 - (b) One lower controller (possibly a Senior Security Supervisor)

c. Participants

All stakeholders in the management of security at the Port Facility should participate:

- (1) During the Planning Phase
 - (a) Director, Operations
 - (b) Director, Engineering
 - (c) Director, Human Resources
- (2) Throughout the exercise
 - (a) Port Facility Security and/or Safety Manager
 - (b) Port Facility Security Officer (PFSO)
 - (c) Logistics manager
 - (d) At least one administrative staff member

10. **Resources**

a. Location

- (1) Planning and control room for the controllers.
- (2) Planning Room for participants.
- (3) Control Room or Operations Room for the execution phase of the exercise. If the Port Facility has a control or operations room, this should be used. Care should be taken to ensure there is no interference or confusion with normal Port Facility operations.
- (4) Conference Room for the presentation of the plan to management.



b. Communications

(1) **Equipment**

All the usual Port Facility communications means should be employed. If radio communications (including walkie-talkies) is to be part of the communications means, separate channels (from the usual operating channels) should be nominated for the purposes of the exercise, and a communications plan promulgated. Separate communications channels will also be required for controllers. See example in [Appendix 2](#).

(2) **Code Words**

Code words are used to provide brevity and clarity in communications during the conduct of an exercise. A list of suggested code words is given in [Appendix 2](#). Additional code words may be coined for specific circumstances e.g. the name of the exercise. The code words must be promulgated to all controllers and participants of the exercise.

(3) **Security**

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

c. Other requirements

(1) Equipment for the planning phase

- (a) Local layout plans, charts and maps should be used to enhance realism, and the narratives adjusted for local context.
- (b) Wyteboards and wyteboard markers
- (c) PCs, printers and digital projectors
- (d) Photocopier
- (e) Stationery

(2) Equipment for the execution phase will be as per the planning phase, plus standard Control or Operations Room equipment e.g.

(a) Status Boards

- i. Operations status
- ii. Deployment of forces, teams, personnel, vehicles, vessels, etc.
- iii. Logistics status (fuel, water, supplies, breakdown & repair, etc.)
- iv. Personnel status (manning, casualties, etc)



- (b) Log and Record Books
 - i. Operations Log
 - ii. Communications Log
 - iii. Incident Log

- (3) Victuals and refreshments

11. Management endorsement

The Chief Controller should seek approval from management for the conduct of the exercise, as significant top management participation is expected.

CONDUCTING THE EXERCISE

12. Scenario

A scenario synopsis or narrative will be issued to initiate the planning process. The fictitious scenario depicts a situation of increasing unrest in the country with a consequent rise in the maritime security threat to ports and Port Facilities. Port Facilities will have to plan a general response to the increasing maritime security threat, as well as respond to the specific threats presented. The example of a narrative is provided in [Appendix 3](#).

13. Planning Process

a. Different planning processes and methods are available to formulate the responses to security threats to the Port Facility. The following may be considered:

- (1) The guidelines provided in ISPS Code Part B sections 15 and 16.
- (2) The “Threat Evaluation and Risk Assessment” methodology advocated in IMO familiarization courses on the ISPS Code.
- (3) Any other evaluative methodology e.g. ISO DIS 20858 on Ships and Marine Technology — Maritime port facility security assessments and security plan development.

b. The planning may take place over a period of one day, on completion of which a written review of the PFSP’s responses to increasing security threats should be prepared (e.g. the procedures and means by which a change in the Security Level is implemented).



14. Master Events List

a. A generic Master Events List for this exercise is given in [Appendix 4](#). The EPCT should add to or delete injects given in this list as required. In general, injects should seek to test:

- (1) Command, control and coordination procedures and processes
- (2) Communications channels and procedures.

b. Some topics that may be considered for injects that test responses to the security threat are:

- (1) Deterioration of social order and the economy.
- (2) Inadequacy and/or inability of the country's infrastructure to meet industry needs e.g. power outages.
- (3) Declaration of intent to disrupt the country's economic lifelines.
- (4) Surveillance and enquiries conducted on the Port Facility.
- (5) Harassment and subversion of Port Facility staff.
- (6) Intrusions with malicious intent.
- (7) Attacks on the Port Facility.

c. During the execution phase of a tabletop simulation exercise, injects from the Master Events List are issued by the Chief Controller to be acted upon by the participants. When the participants need to have some action carried out by a subordinate unit or individual e.g. security guards stationed at the entrance to the Port Facility, they are to message the instruction to the lower controller, who will then respond in appropriate time on the outcome of the action. This response should be consistent with the overall objective of the exercise and specific purpose of the inject.

d. The Chief Controller should monitor the development of the proposed procedures and responses by the participants closely, and be prepared to introduce injects to test any initiatives for responding to security threats formulated during the planning stage. These should be incorporated in the Master Events List.

e. The dates and times reflected in the Master Events List are exercise dates and times. Actual dates and times will be determined by the Controllers when planning for the exercise. However, controllers may choose to adopt the times indicated in the Master Events List as actual time.



15. Briefings

- a. A briefing to controllers will be conducted by the Chief Controller and should include the following:
 - (1) Objectives of the exercise.
 - (2) Scenario for the exercise.
 - (3) Roles to be played by controllers.
 - (4) Exercise injects, anticipated responses by participants, and feedback to be provided by lower controllers to participants for each response.

- b. A briefing to participants upon commencement of the exercise will include:
 - (1) Organization for the exercise.
 - (2) Details of the administrative and logistics arrangements.
 - (3) Exercise objectives.
 - (4) Task(s) assigned.
 - (5) Issue of narrative no.1.

CONCLUDING THE EXERCISE

16. The exercise is deemed to have been completed when:
 - a. The procedures for responding to security threats are reviewed and new initiatives recorded.
 - b. The execution phase has been completed with the planned injects employed.
 - c. The Exercise Director so decides.

17. **Debrief**
 - a. Where a full scale or live exercise has been conducted, the debrief of the live components (which may comprise a number of different drills) should be conducted as soon as possible after the exercise, and preferably on the same day. The debrief of the planning and tabletop simulation of the execution phase may be conducted later, as the operations plan would have been documented, and most decisions and actions recorded in the form of messages.
 - b. Numerous messages may have been passed in the course of the execution phase of a tabletop simulation exercise. Only those relevant to specific lessons learnt may need to be preserved for the debrief, if only to serve as reminders for the points to be made.
 - 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.

18. Reports

a. A formal report on the exercise should be submitted to management. The report will highlight the lessons learnt and significant recommendations from the review conducted as part of the tabletop simulation. If drills are incorporated in the exercise as the live component, the report should include the lessons learnt from the drills in the format for the drills reports in Volume I Part 2. Where appropriate, a copy of the report should be extended to the Designated Authority. An example of a report for the tabletop simulation is provided at [Appendix 5](#).

b. If there are significant issues and recommendations concerning the security of the Port Facility or proposing certain expenditures, a verbal presentation of the report at a top management meeting should be considered.

19. 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 Drills and Exercises Record Book:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
	<i>Exercise</i>	<i>Port Facility exercise</i>	<i>FE21 – Response to Security Threats</i>	<i>PF/101/08-FE21 dated xx/yy/zzzz</i>

**FE21 TIME-TABLE FOR PLANNING**

DAYS TO EXERCISE	DATE	EVENT	CHECK
D -60	(calendar	Confirm the exercise date Request participation in the exercise	
D -30	dates to be	Confirm budget availability for items and/or services to be employed during the exercise Review Volume II Part 1 - Guidelines for the Conduct of Maritime Security Exercises	
D -27	inserted)	Appoint the Exercise Planning and Control Team	
D -21		Convene the initial planning conference	
D -21		Refine the scenario and narratives Adjust the Master Events List	
D -14		Confirm the participants	
D -10		Obtain management endorsement	
D -7		Promulgate the Exercise Administrative Instructions	
D -2		Brief the controllers	
D to D +1		Conduct the exercise	
D +2		Record the conduct of the exercise	
By D +5		Conduct the debrief and record the lessons learnt	
By D +7		Discuss follow-up actions with management	
By D +8		Submit the written report on the exercise	

**COMMUNICATIONS**Example Communications Plan

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

Example 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.

CODE WORD	MEANING
Exercise Trojan Horse	Exercise name (example only)
Exercise Start	The exercise is to commence
Exercise Suspend	The exercise is temporarily suspended
Exercise Go	The exercise is to resume from where it was suspended
Exercise Stop	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."



FE 21 SCENARIO SYNOPSIS

NARRATIVE NO. 1

General Security Situation

1. *While public services in the country have been fairly well-managed, there is general public discontent over the reduction in the quality of life as a result of stagnant incomes coupled with rising costs. Of late, neglect and corruption has led to a drastic decline in public sector services, with private enterprise stepping in to fill the void where possible. Companies have prospered providing healthcare, education, transportation and even security services. However, this has led to disenfranchised and dissatisfied masses who cannot afford the private sector prices for their services. With increasing social inequity, the threats to the internal security of the country are steadily rising. There have been street demonstrations over an increase in fuel prices, and consequent increases in the cost of living.*

2. *The country's economy is dependant on its mineral exports and some basic manufacturing industries such as steel mills, furniture and canned fish. The majority of its trade passes through its sea ports. Of significance to the maritime industry, activists have threatened to disrupt the country's economy in order to de-stabilise the government.*

Maritime Security Situation

3. *Robberies on ships in port and at sea in the coastal waters have long been a concern, but the authorities are limited by the fact that these criminals operate from a nearby State, and conduct lightning raids across the border to escape often before any reaction by security forces is possible.*

4. *In the past 6 months, the incidence of hijacking of cargo between the dispatching warehouses and distribution points, and the Port Facilities has increased significantly. There has not been much news of what has been stolen, but from industry insiders reports, the PFSO has noticed that some of the cargo includes LPG (cooking) gas cylinders as well as fertilizer bound for the outlying islands.*

5. *The Police and Coast Guard are subject to much temptation on the ground, but have thus far confined themselves to the financial rewards from facilitating business. Militant activism has not been able to make much headway in those agencies.*



Security Incidents at the Port Facility

6. *Three weeks ago, patrolling guards noticed an old van parked on the road outside the Port Facility, with two occupants. The van stayed for about 15 mins. Last week, a man called at the pass office wanting to visit a ship alongside. He said he had an appointment to check the ship's radar, but carried no toolkit and had only a temporary identity document of the type issued when the proper document is lost and awaiting replacement. He could not name the ship he wanted to visit but stayed for about half an hour asking about the Port Facility. The name on his identity document was recorded.*

7. *The Port Facility is currently at Security Level 1. Two days ago, a Port Facility three blocks away suffered a major fire that took 20 hrs to suppress. At about that time, the stevedores' union was having a strike and holding demonstrations at another port nearby for more pay. The Designated Authority yesterday issued an alert to all ports and Port Facilities regarding industrial action, stating that there was an indication that militants were active among port workers.*

8. *Upon notification of the DA's alert, the PFSO had reported to his boss, the Safety Manager, that there were rumours among the staff that some of the stevedores in the Port Facility had lately been voicing extremist views on the situation in the country. The PFSO urged the Safety Manager to convene a security meeting in order to discuss the responses to the possibility of an emergent security threat to the Port Facility. The Director of Operations then sanctioned the high-level meeting and the PFSO circulated the agenda at **Annex A (to Appendix 3)**.*

Annex A: Agenda for Port Facility Security Meeting



Port Facility address

Date:

To: See Distribution List

PORT FACILITY SECURITY MEETING - AGENDA

Reference: Port Facility Security Plan

INTRODUCTION

1. *The deteriorating situation in our country has had an adverse impact not only on our business prospects, but also on the security of our Port Facility. Director, Operations will chair a discussion to be held in the Conference Room on date at 0900 to address the security threats we are facing, and our responses to them to ensure the security of our Port Facility. Addressees are kindly requested to attend in person.*

2. *The agenda is as follows:*

a. *General situation and assessment*

b. *Threats assessment*

(1) *Intelligence gathering on our Port Facility through surveillance and enquiries.*

(2) *Internal threats from Port Facility staff*

(3) *Hijack of cargo en route to/from the Port Facility.*

(4) *Unauthorized access by personnel and vehicles.*

(5) *Attack on ship(s) in the Port Facility*

(6) *Attack on the Port Facility*



- c. *Responses to the threat*
 - (1) *Adequacy of the Port Facility infrastructure*
 - (2) *Equipment and supplies, including maintenance and repair*
 - (3) *Procedures and processes*
 - (4) *Manpower*
 - (5) *Changes to the Security Level initiated by the Designated Authority*
 - (6) *Security Level measures initiated by the Port Facility*
 - (7) *Interaction with ships in/entering the Port Facility*

- d. *Any other matters.*

Signed

*Chief Security Officer/Secretary
for PFSO*

Distribution:

*Director, Operations
Director, Engineering
Director, Human Resources
Senior Manager, Safety and Security
PFSO*

Copy to:

Managing Director

**FE21 MASTER EVENTS LIST**

SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
Date:				
001	0900	High Control	Issue of Narrative No. 1	Meeting commences
002	1600	Management	Endorsement of the findings of the discussion	Participants should present the salient points from the discussion on the Port Facility's responses to security threats to top management for endorsement
003	1930	High Control	Mains power failure	Port Facility to implement power failure procedures, including security
004	2000	Low Control	Engineering services report that the diesel tanks for the emergency generators are low on fuel and have only 5 hrs supply remaining	Purchasing department to be alerted to order immediate supply urgently. Operations department to discuss with engineering and security on what services may be shut down to reduce consumption. Ships to be informed that security lighting may be reduced and to mount extra security; and loading/unloading operations may be interrupted
005	2100	Low Control	Some engineering staff are demanding doubling of overtime pay	HR to negotiate



SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
006	2115	Low Control	<i>A lady sought to enter the Port Facility to “see her boyfriend urgently”. She named a security employee, but checks showed he is off-duty. She insisted on visiting his locker to “collect something”, and displayed what she claimed was his locker key. Security guard at the gate would like to know if she may be allowed in under escort.</i>	<i>To reject request owing to inconsistencies in her story</i>
007	2130	Low Control	<i>Security Patrol reported seeing a security guard from Main Entrance duty walking near the Restricted Area with a lady</i>	<i>To direct Security Patrol to question them</i>
008	2135	Low Control	<i>Security patrol conducting search for the pair</i>	
009	2145	High Control	<i>The engineering staff have escalated their demands uttering threats to disrupt the Port Facility’s operations if their demands are not met</i>	<i>To consider sending details of the staff to the Police to screen for connections with militants</i>
010	2200	Low Control	<i>Security Patrol reported oil leak from the generator room</i>	<i>To get senior engineers to investigate</i>
011	2220	High Control	<i>Senior engineers report that diesel had begun to leak from a small hole drilled in the side of a generator fuel tank. No attempt had been made to disguise the leak.</i>	<i>To report to Police</i>
012	2245	High Control	<i>The leak has been stopped with a patch. It is estimated that only very little fuel was lost as the leak had been spotted early</i>	<i>To note in operations log</i>
013	2300	Low Control	<i>Security team checking on the leak reported a small can of petrol had been found open with a rag stuffed into the petrol and hanging out into the stream of diesel coming from the generator fuel tank</i>	<i>To assess situation</i>



SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
Date:				
014	0100	Low Control	<i>The fuel supply company has reported that a diesel fuel truck on the way to the Port Facility cannot be traced and is suspected to have been hijacked</i>	<i>To request urgent replacement</i>
015	0130	High Control	<i>MV Shipname ship's horn sounded repeatedly and a phone call from the SSO reported the ship is under attack. MV Shipname is a tramp freighter operating among the islands, and has embarked a few containers of general cargo of no special significance to security</i>	<i>To call Coast Guard and Police. To dispatch Security Team to investigate. To warn all staff to keep clear of the MV Shipname berth. To warn all ships in the Port Facility. To recall all Security personnel. To report to Designated Authority</i>
016	0150	Low Control	<i>MV Shipname reported the ship has been taken over and the crew is being held hostage. The Captain and Chief Engineer are not on board. The militants are demanding tugs to assist the ship out</i>	<i>To confer with Coast Guard and Police on the course of action to take. Port Facility position should be expressed</i>
017	0200	High Control	<i>Mains power supply restored</i>	<i>To order checks on all systems</i>
018	0215	High Control	<i>Militants on board MV Shipname threaten to sink the vessel at wharfside if she cannot sail</i>	<i>Port Facility to recognize lengthy disruption to Port Facility operations if the ship is sunk alongside</i>
019	0230	High Control	<i>Coast Guard requires the ship to remain alongside</i>	<i>To appeal to Coast Guard to allow the ship to sale</i>
020	0300	High Control	<i>Fuel supply company reported that another diesel fuel truck has been dispatched</i>	<i>To check for estimated time of arrival, truck details</i>
021	0310	Low Control	<i>MV Shipname starts her engine</i>	<i>Port Facility to consider casting off the MV Shipname</i>
022	0330	High Control	<i>Police recommend Port Facility increase her Security Level measures</i>	<i>Port Facility to check with Designated Authority</i>



SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
023	0345	Low Control	Security patrol has found the security guard from the main entrance unconscious near the Restricted Area	To arrange first aid for the guard, and call ambulance To continue search for the missing female
024	0400	High Control	DA directs Port Facility to comply with Police recommendation to increase Security Level measures. The raising of the Security Level at State level would be announced in the morning news anyway	Take action in accordance with the PFSP to raise Security Level measures to Level 2
025	0410	Low Control	A man at the Main Entrance says he is seeking his wife. He claims she has gone into the Port Facility. He is abusive, and demands to be allowed in, and threatens to attack the Port Facility with his gang	To address the situation
026	0425	High Control	Police take the man into custody	To follow-up with Police
027	0430	High Control	Police special action team board MV Shipname. They kill 1 and arrest 5 hijackers.	To manage media
028	0445	High Control	Police reveal that one of the hijackers is female	To check against identity document left at Main Entrance pass office
029	0500	High Control	A canteen worker is found with clothes smelling of diesel and handed over to Police as a suspect in the sabotage of the generator fuel tank	To cooperate in Police investigation
030	0530	Chief Control	End of exercise	Participants to summarize what they thought had happened.

Note: This Master Events List is prepared for a tabletop simulation exercise. If drills are added for a full scale or live exercise, the Master Events List for the drills should be incorporated.



EXAMPLE REPORT

REPORT ON THE CONDUCT OF SECURITY EXERCISE FE21

INTRODUCTION

1. *Exercise FE21 from the APEC Manual of Maritime Security Drills and Exercises Volume II Part 2 was conducted by this Port Facility from date to date. The exercise focused on the Port Facility's responses to security threats.*

AIM

2. *The aim of this report is to highlight the lessons learnt and recommendations for implementation by management and security staff of the Port Facility.*

PARTICIPANTS

3. *Exercise Direction and Control*

- a. *Exercise Director - Mr. _____ CEO*
- b. *Exercise Chief Controller – Mr. _____ Deputy Director, Operations*
- c. *Exercise High Controller - Mr. _____ Manager, Business Development*
- d. *Low Controller - Mr. _____ Assistant Manager, Port Services*

4. *Exercise Participants*

- a. *Mr. _____ Director Operations*
- b. *Mr. _____ Senior Manager, Engineering Services*
- c. *Mr. _____ Manager, Safety and Security*
- d. *Ms. _____ Manager, Training*
- e. *Mr. _____ PFSO*
- f. *Mr. _____ Chief Security Supervisor*

EXERCISE OBJECTIVE

5. *The exercise was planned to undertake a comprehensive review of the Port Facility's planned responses to security threats, and to practice the command, control, coordination and communications for security activities both within and beyond the Port Facility.*



FORMAT

6. *The exercise was conducted as a tabletop simulation exercise in two phases. The planning phase was conducted as a meeting convened to discuss and review the Port Facility's responses to emerging security threats in the country, and to the Port Facility. The execution phase practiced the command, control and communications for handling of security incidents in the Port Facility, and brought forth more lessons to be incorporated in the PFSP. The minutes of the discussion are appended at **Annex A (to Appendix 5)**. Additional findings from the execution phase are listed below. There was no full-scale or live component in this exercise. However, controllers and participants visited the sites mentioned during the discussion in order to get a first-hand understanding of the situation.*

LESSONS LEARNT FROM THE EXECUTION PHASE

7. **Security Level**

While the State Security Level may be established at a particular level, there is nothing to stop a Port Facility from implementing the security measures designated in its PFSP for a higher security level if it feels that its circumstances require such a measure. It need not inform the Designated Authority of its implementation, and should not require any permission to do so. However, it may not be possible for an individual Port Facility to implement Security Level 3 measures as this would require intervention by State forces.

8. **Subversion and sabotage**

In addition to the need to address the morale of Port Facility staff, security and HR staff must be on the lookout for, and able to recognise subversive elements with militant leanings or connections among the staff to pre-empt sabotage. The PFSO will source for training in such recognition and propose a programme of education.

9. **Screening Program**

There is also the need to be watchful of contract workers such as canteen helpers or contract labourers in the Port Facility. A basic screening program must be put in place, and measures to intensify screening of contract workers at Security Level 2 and 3 specified.



10. Blockade of the Port Facility

The sinking of ship at or near the Port Facility wharves is a major concern as it will disrupt our operations for a considerable time. It was demonstrated that there may be conflicting interests between State security agencies, as well as the Port facility concerning the threat and location of a sinking, that may not be readily resolved. We must consider a course of action that would lead to a satisfactory outcome for the Port Facility should such a scenario occur. The PFSO is to consider the possibilities and present a proposal as soon as possible.

11. There is no “emergency” clause in the Port Facility’s contract with _____ oil company for the supply of fuel to the standby generators. Thus, the oil company is not obliged to deliver fuel on demand at short notice, and the Port Facility may be jeopardized if generator fuel runs out and the generators have to be shut down at night during a mains supply failure. The Purchasing Department should negotiate an emergency demand contract with _____ oil company.

FOLLOW-UP ACTION

12. The PFSO is to monitor the outcome of the recommendations to management, and act on the decisions taken.

CONCLUSION

13. The exercise has been a successful platform for the review of the means and processes by which this Port Facility responds to security threats. The exercise brought together the stakeholders with accountability for the task, both directly and indirectly to work on the issues affecting security control measures. The recommendations should be implemented promptly in order to realize the benefits from enhanced Port Facility security, in recognition of the very real threats demonstrated during the exercise.

Annex A: Minutes of the Discussion on the Port Facility’s Responses to Security Threats



Port Facility address

Date:

To: See Distribution List

MINUTES OF THE DISCUSSION ON THE PORT FACILITY'S RESPONSES TO SECURITY THREATS

PRESENT:

Participants

- Mr. _____ Director Operations - Chairman*
- Mr. _____ Senior Manager, Engineering Services (Director Engineering's rep)*
- Mr. _____ Manager, Safety and Security*
- Ms. _____ Manager, Training (Director HR's rep)*
- Mr. _____ PFSO*
- Mr. _____ Chief Security Officer - Secretary*

Controllers

- Mr. _____ Deputy Director, Operations - Chief Controller*
- Mr. _____ Manager, Business Development - High Controller*
- Mr. _____ Assistant Manager, Port Services - Low Controller*

INTRODUCTION

- 1. Chairman called the meeting to order at 0920 in the Conference Room, and explained that the purpose of the discussion was to address the security threats that the Port Facility is facing, and our responses to them to ensure the security of our Port Facility. He added that the discussion would be deemed an exercise in the context of the Port Facility's obligations to the ISPS Code, and that it would be followed by an active tabletop simulation.*
- 2. The PFSO then provided a summary of the national security situation and the situation in and around our port, which he obtained from the Designated Authority. Please see Annex A for the summary (not included).*



SECURITY INCIDENTS

3. **Surveillance**

There have been 3 cases of persons suspected to be conducting surveillance on our Port Facility from the outside. When approached, they always claimed they were waiting for someone. A new itinerant food seller has also set up a stall opposite the Port Facility main entrance. Security guards at the Main Entrance have reported that he seems to be noting movements to and from the Port Facility. We have to consider employing a private detective to find out more about him.

4. **Unauthorized Access**

a. There were also 4 cases of persons trying to gain entry to the Port Facility without proper identification or without valid reason, and 1 case of a man found on the premises without permission. He had a camera with him. The memory card was blank and we believe he deleted the photos he took when the technicians who apprehended him did not search him immediately. It is suspected that these persons were all trying to find out more about the Port Facility.

b. A car attempted to enter without authorisation, but was refused permission. It was assessed that the driver was testing if our access control could be breached.

c. There were no cases of stowaways discovered, but MV Nonesuch reported that a stowaway was found on board just before she arrived in Country Noname. The female stowaway claimed to be from our land, but MV Nonesuch had made two port calls in our country, and she refused to say at which port or how she boarded.

5. **Potential for Subversion**

The lack of bonuses and general economic conditions this year has affected our staff adversely and there is much unhappiness over the increase in workload because of our limited capacity to hire. The HR representative reported that personnel turnover was not unusual, and attributed this to the lack of opportunities as jobs were scarce. The meeting noted that unhappy staff may pose a greater security problem than external threats.



6. ***Cargo Handling***

a. *Hijacking of cargo has become quite rife, but there have been just 2 cases involving cargo headed to our Port Facility. One of them was detected only when a broken seal was found on a 40 ft TEU. The driver was handed over to Police and confessed that he was part of a hijacking syndicate. The cargo was pilfered, but no weapons or dangerous items were loaded into the container.*

b. *There were 2 cases of cargo pilferage within the Port Facility. Containers were broken into and valuable cargo stolen. One security guard who provided information on the contents and 2 stevedores who broke into the containers were charged in court and jailed.*

RESPONSES TO SECURITY THREATS

7. *The threat of increased security risk from blackouts had not been addressed in the PFSP. While the Port Facility has sufficient back-up power supply to run all security systems, including lighting and the sensor and alarm systems, power failures by night are a significant concern. If for any reason the standby generators fail or are unavailable, the Port Facility must still be able to preserve security. The meeting discussed at length and prepared a contingency plan to address this, and the PFSO will arrange for its inclusion in the PFSP.*

8. *The ramp completed last month for barge landing operations is flanked by wharf on both sides. However, the ramp now allows easy access to personnel in small craft approaching the Port Facility because the plans had not incorporated a fence or gate at the top of the ramp. The meeting agreed that a gate should be erected at the top of the ramp where it meets the wharf, with a fence extending 5m along the wharf on both sides.*

9. *The meeting discussed the additions and amendments required in the PFSP for the measures for more proactive action on suspected surveillance of the Port Facility. In this respect, the itinerant food seller would be investigated further. PFSO is to make arrangements and report the outcome in 2 weeks.*

10. *On the discovery of unauthorized items such as cameras on personnel, the meeting agreed that the PFSP will sanction the immediate seizure of all belongings and items on the person in order to prevent loss of evidence.*



11. *Personnel and vehicles seeking entry under suspicious circumstances would be scrutinized more carefully. The PFSP will be amended to instruct security staff to retain and/or copy any documents submitted by visitors for the purpose of gaining access, whether legitimate or otherwise. The document records may be destroyed after the transaction or entry has been certified by the party being visited as being legitimate. This is to be done by having the person being visited sign an acknowledgement.*

12. *HR was asked to prepare a proposal to address staff morale and loyalty during these challenging times.*

CONCLUSION

13. *The meeting concluded at 1500 with the commencement of the exercise execution phase.*

Signed

*Chief Security Officer
Secretary*

Distribution:

*Director, Operations
Director, Engineering
Director, HR
Manager, Safety and Security
PFSP*

XYZ Port Facility
Maritime Security Exercise

Controller Briefing

date

Response to Security Threats

Exercise FE21

Response to Security Threats

Scope

- Schedule
- Aim
- Objectives
- Required attainments
- Controllers
- Participants
- Exercise Format
- Exercise Product
- Scenario
- Agenda
- Controller Tasks



- Master Events List
- Communications
- Code Words
- Safety
- Resources
- Debrief

Response to Security Threats

Schedule

- Start:
- Estimated End:
- Location:
- Debrief:
- Report by:

Response to Security Threats

Aim

To practice personnel in their responses to security threats in order to enhance their competence in managing the maritime security task



Response to Security Threats

Objectives

- To test and validate the Port Facility's responses to maritime security threats, including the provisions for maintaining critical operations
- To practice the command, control, coordination and communications for security activities both within and beyond the Port Facility

Response to Security Threats

Required Attainments

New initiatives taken in the handling of security threats should be assessed, and if deemed suitable, acceptable and feasible, translated into procedures, or revisions to procedures in the PFSP

Response to Security Threats

Exercise Director

Senior Vice President, Operations Mr. BBB

Control Team

- Chief Controller: Operations Mgr, Mr. AAA
- High Controller (Ops): Facilities Mgr, Mr. DDD
- Low Controller: Safety Supervisor, Mr. XXX

Response to Security Threats

Participants

-
-
-

Response to Security Threats

Exercise Format



This exercise is to be conducted as a brainstorming discussion among management and senior staff members responsible for security at the Port Facility.

This will be followed by a tabletop simulation "execution" phase where participants will respond to controller "injects" of incidents.

Response to Security Threats

Exercise Product

The product of the exercise should be a minutes of the discussion recording the decisions taken and the actual follow-up actions



Response to Security Threats

Scenario

Narrative

- Increasing social inequity
- Street demonstrations
- Sea robbery common
- Hijacking of cargo
- Militants active among port workers
- Possibility of surveillance carried out on this Port Facility

Response to Security Threats

Agenda for the Discussion

1. General situation and assessment
2. Threats assessment
 - a. Intelligence gathering on our Port Facility through surveillance and enquiries.
 - b. Internal threats from Port Facility staff
 - c. Hijack of cargo en route to/from the Port Facility.
 - d. Unauthorised access by personnel and vehicles.
 - e. Attack on ship(s) in the Port Facility
 - f. Attack on the Port Facility

Response to Security Threats

Agenda for the Discussion

3. Responses to the threat
 - a. Adequacy of the Port Facility infrastructure
 - b. Equipment and supplies, including maintenance and repair
 - c. Procedures and processes
 - d. Manpower
 - e. Changes to the Security Level initiated by the Designated Authority
 - f. Security Level measures initiated by the Port Facility
 - g. Interaction with ships in/entering the Port Facility
4. Any other matters

Response to Security Threats

Controller Tasks

DISCUSSION

- To guide participants and provide scenario information
- To record observations and recommendations

TABLETOP SIMULATION

- To introduce injects to trigger participants' responses
- To record observations and recommendations

Response to Security Threats

Master Events List

SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
001	0900	High Control	Issue of Narrative No. 1	Meeting commences
002	1600	Management	Endorsement of the findings of the discussion	Participants should present the salient points from the discussion on the Port Facility's responses to security threats to top management for endorsement
003	1930	High Control	Mains power failure	Port Facility to implement power failure procedures, including security
004	2000	Low Control	Engineering services report that the diesel tanks for the emergency generators are low on fuel and have only 5 hrs supply remaining	Purchasing department to be alerted to order immediate supply urgently. Operations department to discuss with engineering and security on what services may be shut down to reduce consumption. Ships to be informed that security lighting may be reduced and to mount extra security, and loading/unloading operations may be interrupted

Response to Security Threats

Master Events List

SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
005	2100	Low Control	Some engineering staff are demanding doubling of overtime pay	HR to negotiate
006	2115	Low Control	A lady sought to enter the Port Facility to "see her boyfriend urgently". She named a security employee, but checks showed he is off-duty. She insisted on visiting his locker to "collect something", and displayed what she claimed was his locker key. Security guard at the gate would like to know if she may be allowed in under escort.	To reject request owing to inconsistencies in her story
007	2130	Low Control	Security Patrol reported seeing a security guard from Main Entrance duty walking near the Restricted Area with a lady	To direct Security Patrol to question them
008	2135	Low Control	Security patrol conducting search for the pair	
009	2145	High Control	The engineering staff have escalated their demands uttering threats to disrupt the Port Facility's operations if their demands are not met	To consider sending details of the staff to the Police to screen for connections with militants

Response to Security Threats

Master Events List

SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
010	2200	Low Control	Security Patrol reported oil leak from the generator room	To get senior engineers to investigate
011	2220	High Control	Senior engineers report that diesel had begun to leak from a small hole drilled in the side of a generator fuel tank. No attempt had been made to disguise the leak.	To report to Police
012	2245	High Control	The leak has been stopped with a patch. It is estimated that only very little fuel was lost as the leak had been spotted early	To note in operations log
013	2300	Low Control	Security team checking on the leak reported a small can of petrol had been found open with a rag stuffed into the petrol and hanging out into the stream of diesel coming from the generator fuel tank	To assess situation
014	0100	Low Control	The fuel supply company has reported that a diesel fuel truck on the way to the Port Facility cannot be traced and is suspected to have been hijacked	To request urgent replacement

Response to Security Threats

Master Events List

SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
015	0130	High Control	MV Shipname ship's horn sounded repeatedly and a phone call from the SSO reported the ship is under attack. MV Shipname is a tramp freighter operating among the islands, and has embarked a few containers of general cargo of no special significance to security	To call Coast Guard and Police. To dispatch Security Team to investigate. To warn all staff to keep clear of the MV Shipname berth. To warn all ships in the Port Facility. To recall all Security personnel. To report to Designated Authority
016	0150	Low Control	MV Shipname reported the ship has been taken over and the crew is being held hostage. The Captain and Chief Engineer are not on board. The militants are demanding tugs to assist the ship out	To confer with Coast Guard and Police on the course of action to take. Port Facility position should be expressed
017	0200	High Control	Mains power supply restored	To order checks on all systems
018	0215	High Control	Militants on board MV Shipname threaten to sink the vessel at wharfside if she cannot sail	Port Facility to recognise lengthy disruption to Port Facility operations if the ship is sunk alongside
019	0230	High Control	Coast Guard requires the ship to remain alongside	To appeal to Coast Guard to allow the ship to sale

Response to Security Threats

Master Events List

SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
020	0300	High Control	Fuel supply company reported that another diesel fuel truck has been dispatched	To check for estimated time of arrival, truck details
021	0310	Low Control	MV Shipname starts her engine	Port Facility to consider casting off the MV Shipname
022	0330	High Control	Police recommend Port Facility increase her Security Level measures	Port Facility to check with Designated Authority
023	0345	Low Control	Security patrol has found the security guard from the main entrance unconscious near the Restricted Area	To arrange first aid for the guard, and call ambulance To continue search for the missing female
024	0400	High Control	DA directs Port Facility to comply with Police recommendation to increase Security Level measures. The raising of the Security Level at State level would be announced in the morning news anyway	Take action in accordance with the PSP to raise Security Level measures to Level 2
025	0410	Low Control	A man at the Main Entrance says he is seeking his wife. He claims she has gone into the Port Facility. He is abusive, and demands to be allowed in, and threatens to attack the Port Facility with his gang	To address the situation

Response to Security Threats

Master Events List

SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
026	0425	High Control	Police take the man into custody	To follow-up with Police
027	0430	High Control	Police special action team board MV Shipname. They kill 1 and arrest 5 hijackers.	To manage media
028	0445	High Control	Police reveal that one of the hijackers is female	To check against identity document left at Main Entrance pass office
029	0500	High Control	A canteen worker is found with clothes smelling of diesel and handed over to Police as a suspect in the sabotage of the generator fuel tank	To cooperate in Police investigation
030	0530	Chief Control	End of exercise	Participants to summarise what they thought had happened.

Response to Security Threats

Communications

- Messages
- Email
- Telephone

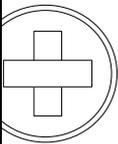


Response to Security Threats

Code words

CODE WORD	MEANING
Exercise Trojan Horse	Exercise name (example only)
Exercise Start	The exercise is to commence
Exercise Suspend	The exercise is temporarily suspended
Exercise Go	The exercise is to resume from where it was suspended
Exercise Stop	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. KLU has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."

Response to Security Threats



Safety

- No special safety considerations for the discussion and tabletop simulation
- Drill safety precautions and RAM to be implemented if drills are incorporated as part of a full scale or live exercise

Response to Security Threats

Resources

- Meeting Room 1: Controllers' planning room
- Main Conference Room: Participants' planning room
- Operations Control Room: Exercise control and execution

Response to Security Threats

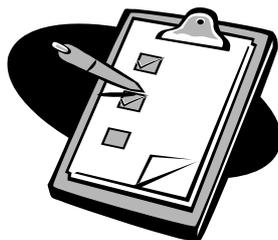
Resources

- Higher Controller (Ops) to arrange for:
 - Plan of the Port Facility
 - Map of the Port Facility precinct
 - Chart of the Port Facility harbour area
 - Laptop, projector and screen
 - Wyteboard and supply of wyteboard markers
 - Photocopier and stationery

Response to Security Threats

Debrief

- Location:
- Secretary:
- Attendance
-
-



Response to Security Threats



end

XYZ Port Facility
Maritime Security Exercise

Participant Briefing

date

Response to Security Threats

Exercise FE21

Response to Security Threats

Scope

- Review
- Schedule
- Aim
- Objectives
- Required attainments
- Controllers
- Participants
- Exercise Format
- Exercise Product
- Scenario
- Agenda
- Communications



- Code words
- Safety
- Resources
- Debrief
- ISPS update
- Maritime security update

Response to Security Threats

Review of Previous Port Facility Exercise

Date conducted:

Objectives:

Lessons Learnt:

-
-
-

Response to Security Threats

Schedule

- Start:
- Estimated End:
- Location:
- Debrief:
- Report by:

Response to Security Threats

Aim

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Response to Security Threats

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Response to Security Threats

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Response to Security Threats

Agenda for the Discussion

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Response to Security Threats

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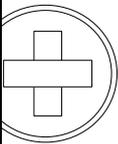


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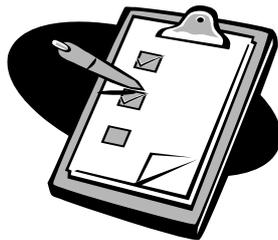
Resources

- Deputy Operations Manager to arrange for:
 - All operations and administrative stateboards
 - Logs and record books
- Logistics Manager to arrange for:
 - Victuals and refreshments

Response to Security Threats

Debrief

- Location:
- Secretary:
- Attendance
-
-



Response to Security Threats

Updates on the ISPS Code and local Regulations

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-
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Response to Security Threats

Developments in Maritime Security



Response to Security Threats



end
