



<b>Exercise</b>	FE26
<b>Category</b>	Port Facility Exercises
<b>Type</b>	Security Incidents
<b>Security Level</b>	1 and 2
<b>References</b>	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Vol II Part 1 – Guidelines for the Conduct of Maritime Security Exercises 4. ISPS Code Part A article 14 and Part B articles 15.9 to 15.12

## INTRODUCTION

1. In order that the security of a Port Facility may be comprehensively assessed, there is a need to take cognizance of the entire range of possible security incidents that may befall a Port Facility. This threat assessment would have been performed for the development of the PFSP, but changes to the conditions will necessitate a review of the potential for security incidents, and their sources.

2. This exercise will be conducted as a tabletop simulation in the execution phase. There is no planning phase during the conduct of the exercise, as the compilation of the Master Events List by the controllers shall constitute a part of the exercise. Injects of security incidents may also be extracted from other exercises in this manual. Participants will be required to respond to the injects during the conduct of the exercise and note any associated incidents (or new incidents) that may not have been introduced by the control team. 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

3. The aim of this exercise is to perform a threat assessment by identifying the potential incidents that may affect a Port Facility.

4. The principal objectives are:

- a. To list the potential security incidents that may occur at the Port Facility, and specify the actions required to prevent or counter such incidents that are not provided for in the PFSP.



- b. To practice the command, control, coordination and communications for security activities both within and beyond the Port Facility.

### REQUIRED ATTAINMENTS

5. On completion of the exercise:
  - a. Participants would be able to:
    - (1) Recognize the identifying characteristics of potential security incidents.
    - (2) Relate these potential security incidents to their impact on the Port Facility.
  - b. A written plan to address potential security incidents not previously covered in the PFSP should be prepared for submission to top management.

### PLANNING FOR THE EXERCISE

#### 6. **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 - 8 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](#).

#### 7. **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 this exercise should include all senior management with responsibility for security at the Port Facility. This exercise demands a high level of participation in the control team as the planning phase is performed by the control team.



(2) Controllers required for the execution of the tabletop simulation are:

- (a) One higher controller (Operations)
- (b) Two lower controllers (possibly Senior Security Supervisors)

(3) 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.

c. Participants

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

- (1) Port Facility Security and/or Safety Manager
- (2) Port Facility Security Officer (PFSO)
- (3) Logistics manager
- (4) At least one administrative staff member

8. **Resources**

a. Location

- (1) Planning and control room for the controllers.
- (2) Planning/Control Room or Operations Room for the participants. 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.

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**

(a) Local layout plans, charts and maps should be used to enhance realism, and the narratives adjusted for local context.

(b) **Status Boards**

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

(c) **Log and Record Books**

- i. Operations Log
- ii. Communications Log
- iii. Incident Log

(d) **Wyteboards and wyteboard markers**

(e) **PCs, printers and digital projectors**

(f) **Photocopier**

(g) **Stationery**

(3) **Victuals and refreshments**

9. **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

### 10. Scenario

A scenario synopsis or narrative will be issued to describe the simulated situation. 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. Participants will be expected to respond to the security incidents presented. The narrative is provided in [Appendix 3](#). Controllers may wish to adjust the scenario to suit local circumstances.

### 11. Planning Process

a. Different planning processes and methods are available to provide a systematic framework for addressing the potential security incidents at the Port Facility. The following may be considered:

- (1) The guidelines provided in ISPS Code Part B articles 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 exercise may take place over a period of one day, on completion of which a written review of the potential security incidents and the proposed adjustments, if any, to the PFSP to account for them, should be prepared.

### 12. Master Events List

a. A non-exhaustive 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. The Chief Controller should monitor the participants’ responses to the security incidents introduced or “injected” during the conduct of the exercise in order to further develop the unfolding scenario, as well as to record new or novel responses for adjustments and improvements to the PFSP.

b. The injects should seek to test:

- (1) Means and procedures to respond to security incidents.
- (2) Command, control and coordination procedures and processes.
- (3) Communications channels and procedures.



c. Some topics that may be considered for injects for security incidents are:

- (1) Failure of power and other essential supplies.
- (2) Damage or destruction of port facility infrastructure and/or ships in port.
- (3) Tampering with cargo, ship stores and equipment both in the Port Facility and on ships that are in port.
- (4) Unauthorized access, including stowaways.
- (5) Smuggling of weapons and/or equipment.
- (6) Use of a ship as a weapon.
- (7) Blockage of the port or port infrastructure.
- (8) Attack on the Port Facility.

d. Injects from the Master Events List are to be 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.

e. In issuing the injects, and during the ensuing interaction with the participants on those injects, controllers should record and incorporate in the Master Events List, on-the-fly, any new security incident that may arise.

f. In responding to the injects, participants should record the following:

- (1) Measures to prevent the security incident at the Port Facility.
- (2) Measures to respond to the security incident should they occur.

### 13. 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, examples of 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

14. The exercise is deemed to have been completed when:
  - a. Security incidents not previously documented are noted, and accepted responses not previously specified have been recorded for subsequent consideration.
  - b. The planned injects have been employed and the requisite results recorded.
  - c. The Exercise Director so decides.
15. **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 tabletop simulation may be conducted later, as the desired outcomes would have been recorded as per the required attainments.
  - 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.



## 16. 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 outcomes 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 exercise 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.

## 17. 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:

<b>ISPS Port Facility Drills and Exercises Record Book</b>				
<b>DATE</b>	<b>EVENT</b>	<b>TYPE</b>	<b>SUBJECT</b>	<b>REPORT REFERENCE</b>
	<i>Exercise</i>	<i>Port Facility exercise</i>	<i>FE26 – Security Incidents</i>	<i>PF/101/08-FE26 dated xx/yy/yyyy</i>

**FE26 TIME-TABLE FOR PLANNING**

<b>DAYS TO EXERCISE</b>	<b>DATE</b>	<b>EVENT</b>	<b>CHECK</b>
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		Appoint the Exercise Planning and Control Team	
D -21	inserted)	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		Conduct the exercise	
D +1		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.

<b>CODE WORD</b>	<b>MEANING</b>
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 26 SCENARIO SYNOPSIS**

### **NARRATIVE NO. 1**

#### ***General Security Situation***

1. *The rise in oil prices has caused considerable economic distress in the country, which is dependent on oil imports for most of its energy needs. Job losses as a result of industries becoming no longer cost-competitive and widespread price increases brought about by the rise in fuel prices have resulted in despair among the poor. An increasing income disparity has also alienated the middle class from the ruling elite, who through manipulation and clever machination, have enriched themselves while neglecting the plight of the people.*

2. *As a result, opposition to the autocratic rule of the government has become more vocal, and militants have begun to show their hand by organizing public protests, some of which have ended in violence. Crime rates have gone up significantly, and people no longer feel secure, even in their own homes.*

#### ***Maritime Security Situation***

3. *The pilferage of cargo and ship stores at ports and port facilities have become rampant, and even cargoes of agricultural exports like rice have been affected. With no imminent external threats, the government's security agencies have worked to preserve internal security by extending protection to businesses and industry, but with morale affected by declining standards and quality of life, efforts by a few well-meaning military and police leaders have been diluted on the ground. Port Facilities have also suffered from attacks on their property, with people stealing whatever they can get their hands on. Cruise liner and ferry terminals have not been spared, with missing baggage a common occurrence, even with increased security provided by private security companies.*

4. *Robberies on ships in port and at sea in the coastal waters have been a long-standing maritime security issue that has seen some intensification, and international shipping companies have taken to employing security companies to provide a measure of protection for their ships. This has been quite successful, as the criminals quickly get wind of which ships are embarked with armed escorts, and avoid them, preferring to attack "soft" targets, even if most of them yield small pickings.*

**FE26 MASTER EVENTS LIST**

<b>SERIAL NO.</b>	<b>TIME</b>	<b>FROM</b>	<b>HIGH CONTROL INJECT / LOW CONTROL RESPONSE</b>	<b>PARTICIPANT'S EXPECTED RESPONSE</b>
<i>Date:</i>				
001	0900	High Control	<i>Issue of Narrative No. 1</i>	<i>To read</i>
002	0910	Low Control	<i>Main entrance guard reports a man wanting to visit MV RTY alongside Berth D has no identification. He wants to offer a security services to the ship. MV RTY says they do not expect him, and do not want him on board</i>	<i>To direct main entrance guard to reject the man</i>
003	0915	Low Control	<i>The man refuses to go away, and claims he is an ex-Police officer, and he will create problems for the Port Facility with the Police if he is not allowed in on his legitimate business</i>	<i>To explain to the man that as an ex-Police officer, he should understand standard security practices and not create problems</i>
004	0930	Low Control	<i>Main entrance guard reports that the man has left</i>	
005	0940	Low Control	<i>The Senior Security Supervisor reports to the PFSO that the working copy of the PFSP cannot be found</i>	<i>PFSO to order a search for this classified document</i>
006	0945	Low Control	<i>Main entrance guard reports an unattended open paper bag outside the pass office, containing a shoe box</i>	<i>To implement procedure for unattended parcel</i>
007	0950	Low Control	<i>Wharf security reports that a boat is anchored off the Port Facility Berth A with 3 anglers on board doing fishing</i>	<i>To use megaphone or public address system to inform the boat it is in a security area and direct the boat out of the area</i>
008	1000	Low Control	<i>Security Patrol reports a car with a Port Facility label parked inside the Restricted Area, where no private vehicles are permitted</i>	<i>To establish identity of employee and contact him/her</i>



<b>SERIAL NO.</b>	<b>TIME</b>	<b>FROM</b>	<b>HIGH CONTROL INJECT / LOW CONTROL RESPONSE</b>	<b>PARTICIPANT'S EXPECTED RESPONSE</b>
009	1015	High Control	Port Facility chief engineer said he was in a hurry to attend to something in the Restricted Area, so he drove there	PFSO to lodge a complaint with management
010	1020	Low Control	Wharf security reports that the anglers are ignoring the warning	To report to the Coast Guard
011	1030	Low Control	Wharf security reports the anglers are using binoculars to observe the Port Facility waterfront	To report to the Coast Guard. To deploy Port Facility boat to intercept the anglers
012	1045	Low Control	The anglers depart before the Coast Guard and the Port Facility boat arrive	To note the boat registration and file a complaint to the Coast Guard and Maritime Authority
013	1050	Low Control	Wharf security reports the boat carries no registration number	To report to Coast Guard
014	1105	High Control	A friend in the Designated Authority leaked to the PFSO that the security situation has deteriorated significantly but no decision has been taken on raising the Security Level yet for fear of scaring away tourists, etc.	PFSO to recommend Port Facility to implement Security Level 2 measures in view of what has been observed around the Port facility
015	1125	High Control	MV JHU entering the Port Facility is requesting a DoS as the ship is at Security Level 2	PFSO to discuss with SSO
016	1130	Low Control	Wharf security reports three Coast Guard boats off the wharf with armed personnel on board	To direct wharf security to inform the Coast Guard boats that the anglers have left, and in what direction
017		Low Control	Coast Guard appears confused at the information, then ignores wharf security	



SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
018	1135	Low Control	A truck carrying petrol (benzene) in 8 jerrycans is at the main entrance and the driver says he is delivering them to MV RTY. There is no record of a delivery of petrol to be made to MV RTY	To contact MV RTY and PFSO for clearance
019	1150	High Control	MV RTY confirms the order for the petrol, adding that it is for their emergency pumps	To permit the vehicle entry
020	1155	Low Control	Pass Office informs PFSO that the truck driver was issued a Port Facility temporary pass in exchange for his temporary identity card, which did not have his photograph	PFSO to order truck to be held back
021	1200	Low Control	Main entrance guard reports the truck has been allowed in	PFSO to order Security Patrol to find the truck
022	1205	High Control	DoS exchanged with MV JHU	
023	1210	High Control	Director, Operations agrees to implementation of Security Level 2 measures	To implement Security Level 2 measures
024	1215	Low Control	Police in special forces vehicles appear at the main entrance without prior notification and demand access to the wharf	To ask for the reason for access
025	1220	Low Control	Police refuse to reveal their purpose and say they will force an entry if the gates are not opened	To grant permission to open the gate, follow the Police to the wharf and report activity
026	1230	Low Control	Police storm on board MV RTY	To order wharf security to record events on camera without alerting the Police
027	1235	Low Control	Wharf security guard requests video camera to be sent to his location as he cannot leave his post	To arrange to send camera in an unmarked bag
028	1240	High Control	Urgent call from Designated Authority that MV RTY SSAS has been triggered	To inform that Police have boarded MV RTY



<b>SERIAL NO.</b>	<b>TIME</b>	<b>FROM</b>	<b>HIGH CONTROL INJECT / LOW CONTROL RESPONSE</b>	<b>PARTICIPANT'S EXPECTED RESPONSE</b>
029	1245	Low Control	Security road barriers to be installed for Security Level 2 cannot be found	To arrange for temporary barriers. To seek approval to acquire new barriers
030	1250	High Control	Security patrol reported that an unknown truck passed them too quickly to stop it. Their location is away from the waterfront. They are giving chase but are only on bicycles	To send standby force to intercept the truck
031	1340		Police team leave MV RTY and demand access to the bonded goods warehouse. They explain they have a report that firearms have been shipped in on board MV RTY	To facilitate Police in their search
032	1350	Low Control	Police search cargo discharged from MV RTY and find a cache of various weapons hidden behind a false wall in a container with a cargo of bicycles	To administer the documentation on the container
033	1355	Low Control	Senior Security Supervisor reports that all possible spaces and stores have been searched but the PFSP still cannot be found	PFSP to report to his superior for a decision
034	1410	High Control	The Safety and Security Manager orders PFSP to review the confidential aspects of the PFSP and prepare an assessment of the potential damage and how it is to be mitigated	
035	1420	Low Control	Police return to MV RTY	
036	1435	Low Control	Police emerge with 11 men and the captain and crew of MV RTY	To find out details of the arrest
037	1445	High Control	Police explain that the Captain and crew had been paid to transport these militants into the country in order to support local militants' efforts to overthrow the government	To record event and request Designated Authority to move the ship out from the Port Facility



SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
038	1450	High Control	Stevedores are agitating to strike for more pay	HR to negotiate
039	1520	High Control	Telephone call to PFSO: "We will attack your Port Facility with a bomb if you do not pay us \$xxx."	To report threat to Police. To convene a top management meeting to review the response procedure in the PFSP. To determine if it is connected to stevedores' action
040	1535	High Control	Four container cranes made unserviceable by their power cable being cut with an axe found near one of the cranes	To report sabotage to Police
041	1545	Low Control	Telephone call to PFSO: "You have 24 hrs to pay up. If you do not, the bomb will be planted among your passengers at the terminal soon. Send the money with one man in a speedboat to <u>lat. &amp; long.</u> (coordinates) to be there at XXXX hrs on <u>date</u> . If we see any Police boats or aircraft or more than one man, we will still attack the terminal with the bomb. To prove we are serious, one of your employees will be executed today."	To report to Police and assist in a thorough search of the entire Port Facility. To increase security and vigilance at passenger terminal.
042	1600	High Control	End of Exercise	

Notes:

1. 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.
2. 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 here as actual time.



**EXAMPLE REPORT**

***REPORT ON THE CONDUCT OF SECURITY EXERCISE FE26***

**INTRODUCTION**

1. *Exercise FE26 from the APEC Manual of Maritime Security Drills and Exercises Volume II Part 2 was conducted by this Port Facility on date. The focus of the exercise was on the Port Facility's registration of possible security incidents and updating the PFSP to catalogue the approved responses to those incidents after having tested them during the exercise.*

**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*
- e. *Low Controller – Ms \_\_\_\_\_ Deputy Manager, HR*

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 primary objective of the exercise was to review the measures and procedures in the PFSP to prevent and/or respond to security incidents, and to practice the command, control, coordination and communications for security activities both within and beyond the Port Facility.*



### FORMAT

6. *The planning by controllers for the conduct of the exercise constituted the first phase, with the list of potential security incidents that may impact on the Port Facility identified. This structure avoided the duplication of effort had the participants been required to consider and list the potential security incidents as well.*

7. *In the second phase, the exercise was executed as a tabletop simulation, with the controllers issuing the narrative and subsequent injects, and participants responding as required. Participants recorded the measures they planned in order to pre-empt such security incidents, and their responses to those incidents, where these were different from that specified in the PFSP.*

### LESSONS LEARNT AND RECOMMENDATIONS

8. *The possible security incidents extracted from the Master Events List and as registered by the control team, and additional findings from the execution phase are appended at **Annex A (to Appendix 5)**.*

<i>Note that these lists are provided as an example only, and are not meant to be exhaustive</i>
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9. *The incidents not previously accounted for in the PFSP are detailed as follows, and the PFSP should be updated to include the measures and procedures specified:*

*a. **Missing Security Equipment***

*The exercise simulated the loss of temporary road barriers. This may have occurred when road works are carried out in the Port Facility, and the contractor may have mistaken the Port Facility's barriers for his own, and removed them upon completion of his work. While the loss of such low-value and bulky equipment which is likely to be stored outdoors might not be preventable, the impact on security in time of need for them may be minimized by the conduct of regular stock checks. The response to their loss would be to conduct a search and install temporary barriers using available materials. Subsequent to the erection of temporary barriers, an investigation into the loss should be conducted, and new road barriers may be purchased and deployed.*



**b. Industrial Action by Staff**

*Strikes or threats to strike are a security concern for their potential to be disruptive, subversive, and in extreme cases of disagreement, can lead to sabotage. The avoidance of strikes is not strictly a security measure as such. It includes good personnel management practices, including good leadership, frequent dialogue, team building, morale boosting activities and fair remuneration. However, should industrial action occur, negotiations must lead the way to a settlement. Particularly in times of security concerns, the avoidance of escalation is very important.*

**c. Attack carried out nearby**

*There is almost nothing that may be done by a Port Facility to prevent a terrorist or militant attack on a neighboring Port Facility, apart from maintaining area surveillance, and perhaps even patrols outside the strict boundaries of the Port Facility. A Port Facility may respond to such an attack by reporting the attack and sending security back-up teams to reinforce any security personnel in the area, to try to prevent any incursion from spilling over. An immediate increase in security measures should also be implemented.*

**c. Simultaneous Attack from a Ship and from Shore by a Vehicle**

*It may be very difficult to prevent an attack by determined terrorists, particularly one that has the capability to organize a simultaneous attack on a Port Facility from sea and from land. The response to such an attack would be similar to that for any breach of security i.e. to report the incursion to State security forces, and deploy own security forces to handle the situation.*

**FOLLOW-UP ACTION**

*10. The PFSO should present the recommendations to management for approval, and upon approval revise the PFSP to incorporate the new security incidents and the measures to prevent/pre-empt them and those to respond to them.*

**CONCLUSION**

*11. The exercise has been a successful platform for the review of the means and processes by which this Port Facility prevents and responds to security incidents. 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.*

**LIST OF SECURITY INCIDENTS**

<b><i>S/no</i></b>	<b><i>Security Incidents Defined for the Exercise</i></b>	<b><i>Pre-Emptive Action</i></b>	<b><i>Response</i></b>
1	<i>Security situation in the State and surrounds</i>	<i>Information and counseling of staff</i>	<i>Increase security measures</i>
2	<i>Access control - personnel</i>	<i>Fence, camera surveillance system, lighting, pass system, procedures</i>	<i>Strict adherence to procedures</i>
3	<i>Access control – vehicles</i>	<i>Gates, permanent/temporary barriers, screening system, pass system</i>	<i>Strict adherence to procedures</i>
4	<i>Access control – vessels</i>	<i>Notice boards, public address system</i>	<i>Report infringements to Coast Guard</i>
5	<i>Security of confidential documents</i>	<i>Locked cabinets, rooms, loan procedures</i>	<i>Search, investigate</i>
6	<i>Unattended parcels, etc</i>	<i>Education and reminders, procedures</i>	<i>Apply procedures</i>
7	<i>Unauthorised access – staff vehicles</i>	<i>Education and reminders, procedures</i>	<i>Apply procedures</i>
8	<i>* Security equipment missing</i>	<i>Regular stock check</i>	<i>Search, replace with alternative temporary measures, investigate</i>
9	<i>External surveillance of the premises</i>	<i>Surveillance system, vigilance education and reminders</i>	<i>Report to Police. Confront upon detection</i>
10	<i>Ship – port interface</i>	<i>N. A.</i>	<i>Apply procedures</i>
11	<i>Interaction with security forces</i>	<i>N. A.</i>	<i>Authentication, compliance with instruction</i>
12	<i>Ship security – triggering of SSAS in port</i>	<i>Seaward security</i>	<i>Report to Coast Guard and Police, apply procedures</i>
13	<i>Unauthorised items (weapons, etc) found</i>	<i>Cargo check, procedures</i>	<i>Report to Police. Apply procedures</i>
14	<i>* Industrial action</i>	<i>Good management, labor practices</i>	<i>Negotiation</i>
15	<i>Subversion and sabotage</i>	<i>Informants, surveillance</i>	<i>Damage control</i>
16	<i>Bomb threat</i>	<i>Nil</i>	<i>Apply procedures</i>



<i>S/no</i>	<i>Security Incidents from the Execution phase</i>	<i>Pre-Emptive Action</i>	<i>Response</i>
17	* <i>Attack on neighboring Port Facility</i>	<i>Nil</i>	<i>Reinforce security at the scene. Increase security measures</i>
18	<i>Access control - baggage</i>	<i>Screening equipment, procedures</i>	<i>Apply procedures</i>
19	* <i>Simultaneous attack from ship and vehicle intrusion</i>	<i>Crew list, access control</i>	<i>Reinforce security at the scene. Request assistance from State security forces</i>
20	<i>Surveillance security system breakdown</i>	<i>Regular maintenance and systems checks</i>	<i>Repair. Maintenance contracts to specify response times.</i>
21	<i>Cargo theft</i>	<i>General security measures, screening equipment, procedures, insurance</i>	<i>Reports, investigation</i>

*Note: Items marked \* have not been previously identified in the PFSP.*

XYZ Port Facility  
Maritime Security Exercise

Controller Briefing

date

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Security Incidents

Exercise FE26

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Security Incidents

Scope

- Schedule
- Aim
- Objectives
- Required attainments
- Controllers
- Participants
- Exercise Format
- Exercise Product
- Scenario
- Controller Tasks
- Master Events List
- Communications
- Code Words
- Safety
- Resources
- Debrief



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Security Incidents

Schedule

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

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Security Incidents

Aim

To perform a threat assessment by identifying the potential security incidents that may affect the Port Facility



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Security Incidents

Objectives

- To list the potential security incidents that may occur at the Port Facility, and specify the actions required to prevent or counter such incidents that are not provided for in the PFSP
- To practice the command, control, coordination and communications for security activities both within and beyond the Port Facility

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Security Incidents

Required Attainments

Participants will be able to

- Recognise the characteristics of potential security incidents
- Relate these potential security incidents to their impact on the Port Facility

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Security Incidents

Exercise Director

Operations Manager, Mr. BBB

Control Team

- Chief Controller: Deputy Ops Mgr, Mr. AAA
- High Controller (Ops): Safety Mgr, Mr. DDD
- Low Controller: Snr Security Sup, Mr. XXX

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Security Incidents

Participants

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Security Incidents

Exercise Format

- The compilation of the Master Events List by the exercise Controllers shall constitute the “planning” phase of this exercise



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Security Incidents

Exercise Format

- The Master Events List will be used to input controller “injects” of incidents during the “execution” phase tabletop simulation
- Drills to be incorporated for a live exercise

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Security Incidents

Exercise Product

A written plan to address potential security incidents not previously covered in the PFSP should be prepared for submission to top management



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**Security Incidents**

Scenario

**Narrative**

- Economic disparity and unemployment leads to unrest among the poor
- Open opposition to the government, with violent public protests
- Pilferage of cargo and ship stores becoming rampant
- Port Facilities attacked by thieves
- Sea robbery a common occurrence

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**Security Incidents**

Controller Tasks

**PLANNING**

- To identify the general and local characteristics of potential security incidents
- To develop a comprehensive list of potential security incidents that impact on this Port Facility

**TABLETOP SIMULATION**

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

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**Security Incidents**

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	To read
002	0910	Low Control	Main entrance guard reports a man wanting to visit MV RTY alongside Berth D has no identification. He wants to offer a security services to the ship. MV RTY says they do not expect him, and do not want him on board	To direct main entrance guard to reject the man
003	0915	Low Control	The man refuses to go away, and claims he is an ex-Police officer, and he will create problems for the Port Facility with the Police if he is not allowed in on his legitimate business	To explain to the man that as an ex-Police officer, he should understand standard security practices and not create problems
004	0930	Low Control	Main entrance guard reports that the man has left	
005	0940	Low Control	The Senior Security Supervisor reports to the PFSO that the working copy of the PFSP cannot be found	PFSO to order a search for this classified document
006	0945	Low Control	Main entrance guard reports an unattended open paper bag outside the pass office, containing a shoe box	To implement procedure for unattended parcel

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## Security Incidents

### Master Events List

SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
007	0950	Low Control	Wharf security reports that a boat is anchored off the Port Facility Berth A with 3 anglers on board doing fishing	To use megaphone or public address system to inform the boat it is in a security area and direct the boat out of the area
008	1000	Low Control	Security Patrol reports a car with a Port Facility label parked inside the Restricted Area, where no private vehicles are permitted	To establish identity of employee and contact him/her
009	1015	High Control	Port Facility chief engineer said he was in a hurry to attend to something in the Restricted Area, so he drove there	PFSO to lodge a complaint with management
010	1020	Low Control	Wharf security reports that the anglers are ignoring the warning	To report to the Coast Guard
011	1030	Low Control	Wharf security reports the anglers are using binoculars to observe the Port Facility waterfront	To report to the Coast Guard. To deploy Port Facility boat to intercept the anglers
012	1045	Low Control	The anglers depart before the Coast Guard and the Port Facility boat arrive	To note the boat registration and file a complaint to the Coast Guard and Maritime Authority

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## Security Incidents

### Master Events List

SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
013	1050	Low Control	Wharf security reports the boat carries no registration number	To report to Coast Guard
014	1105	High Control	A friend in the Designated Authority leaked to the PFSO that the security situation has deteriorated significantly but no decision has been taken on raising the Security Level yet for fear of scaring away tourists, etc.	PFSO to recommend Port Facility to implement Security Level 2 measures in view of what has been observed around the Port facility
015	1125	High Control	MV JHU entering the Port Facility is requesting a DoS as the ship is at Security Level 2	PFSO to discuss with SSO
016	1130	Low Control	Wharf security reports three Coast Guard boats off the wharf with armed personnel on board	To direct wharf security to inform the Coast Guard boats that the anglers have left, and in what direction
017		Low Control	Coast Guard appears confused at the information, then ignores wharf security	
018	1135	Low Control	A truck carrying petrol (benzene) in 8 jerrycans is at the main entrance and the driver says he is delivering them to MV RTY. There is no record of a delivery of petrol to be made to MV RTY.	To contact MV RTY and PFSO for clearance
019	1150	High Control	MV RTY confirms the order for the petrol, adding that it is for their emergency pumps	To permit the vehicle entry

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## Security Incidents

### Master Events List

SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
020	1155	Low Control	Pass Office informs PFSO that the truck driver was issued a Port Facility temporary pass in exchange for his temporary identity card, which did not have his photograph	PFSO to order truck to be held back
021	1200	Low Control	Main entrance guard reports the truck has been allowed in	PFSO to order Security Patrol to find the truck
022	1205	High Control	DoS exchanged with MV JHU	
023	1210	High Control	Director, Operations agrees to implementation of Security Level 2 measures	To implement Security Level 2 measures
024	1215	Low Control	Police in special forces vehicles appear at the main entrance without prior notification and demand access to the wharf	To ask for the reason for access
025	1220	Low Control	Police refuse to reveal their purpose and say they will force an entry if the gates are not opened	To grant permission to open the gate, follow the Police to the wharf and report activity
026	1230	Low Control	Police storm on board MV RTY	To order wharf security to record events on camera without alerting the Police

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## Security Incidents

### Communications

- Messages
- Email
- Telephone
- Other communications means as required for drills (if incorporated)



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## Security Incidents

### Code words

CODE WORD	MEANING
Exercise Trojan Horse	Exercise name (example only)
Exercise Start	The exercise is to commence
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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."

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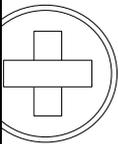
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## Security Incidents



### Safety

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

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Security Incidents

Resources

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

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Security Incidents

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

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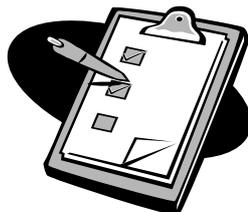
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Security Incidents

Debrief

- Location:
- Secretary:
- Attendance
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Security Incidents



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XYZ Port Facility  
Maritime Security Exercise

Participant Briefing

date

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Security Incidents

Exercise FE26

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Security Incidents

Scope

- Review
- Schedule
- Aim
- Objectives
- Required attainments
- Controllers
- Participants
- Exercise Format
- Exercise Product
- Scenario
- Communications
- Code words
- Safety
- Resources
- Debrief
- ISPS update
- Maritime security update



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Security Incidents

**Review of Previous Port Facility Exercise**

Date conducted:

Objectives:

Lessons Learnt:

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Security Incidents

**Schedule**

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

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Security Incidents

**Aim**

To perform a threat assessment by identifying the potential security incidents that may affect the Port Facility



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Security Incidents

Participants

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Security Incidents

Exercise Format

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Security Incidents

Exercise Format

- The Master Events List will be used to input controller “injects” of incidents during the “execution” phase tabletop simulation
- Drills to be incorporated for a live exercise

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Security Incidents

Exercise Product

A written plan to address potential security incidents not previously covered in the PFSP should be prepared for submission to top management



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Security Incidents

Scenario

Narrative

- Economic disparity and unemployment leads to unrest among the poor
- Open opposition to the government, with violent public protests
- Pilferage of cargo and ship stores becoming rampant
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- Sea robbery a common occurrence

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Security Incidents

Communications

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- Telephone
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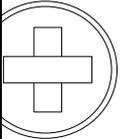
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## Security Incidents



### Safety

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- Drill safety precautions and RAM to be implemented if drills are incorporated as part of a full scale or live exercise

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## Security Incidents

### Resources

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

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Security Incidents

Resources

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

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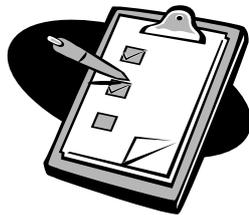
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Security Incidents

Debrief

- Location:
- Secretary:
- Attendance
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Security Incidents

Updates on the ISPS Code and local Regulations

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Security Incidents

Developments in Maritime Security



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Security Incidents

end



Any questions ?

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