



<b>Exercise</b>	PE12
<b>Category</b>	Principal Exercises
<b>Type</b>	Port Facility Security Plan Exercise
<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 sections 14 & 16 and Part B sections 15 & 16

## INTRODUCTION

1. The ISPS Code requires that Port Facilities maintain their Port Facility Security Plan (PFSP) up to date by regular audits at frequencies to be determined by the contracting government and recorded as Endorsements for Verification under the Statement of Compliance of a Port Facility, the validity of which is not to exceed 5 years. Changes to the personnel, organisation, procedures, equipment and infrastructure of the Port Facility may take place, which may impact on the PFSP. Some key changes may have been mandated by the contracting government as requiring endorsement by the Designated Authority. However, others that accumulate since the PFSP's last verification may warrant a thorough review of the Plan.

2. This exercise should be conducted in two phases. In the first (planning) phase, the PFSP should be thoroughly reviewed. The second (execution) phase is conducted as a tabletop simulation or full scale/live exercise. Selected drills from the APEC Manual of Maritime Security Drills and Exercises Volume I Part 2 may also be incorporated to supplement the full scale/live execution phase.

## AIM OF THE EXERCISE

3. The aim of this exercise is to review and test the PFSP in order to perform a thorough audit of the Plan.

4. The principal objectives are:

a. To update the Port Facility Security Plan, taking into account changes to the Port Facility.

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 revised PFSP should be submitted for endorsement verification and/or issue of a Statement of Compliance by the Designated Authority.

## 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 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 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 – Port Facility Operations
- (b) Two lower controllers (possibly a Senior Security Supervisor)

(4) If a RSO was responsible for the original PFSP, consideration should be given for the RSO to conduct this exercise, or participate as controllers.



c. Participants

All stakeholders in the performance of security duties and their support measures at the Port Facility should participate:

- (1) Senior Manager, Port Facility Operations
- (2) Port Facility Security and/or Safety Manager
- (3) Port Facility Security Officer (PFSO)
- (4) Logistics Manager
- (5) HR management representative
- (6) Two administrative staff members

8. **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 room 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 at [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 authorised 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

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. The objective of the scenario is to set the stage, and participants' thinking about the need for a review of the PFSP. The scenario is not meant to be a reflection of the Port Facility's state of security nor is it an exhaustive list of common challenges faced by Port Facilities.

b. The fictitious scenario in this exercise paints a bleak picture of an increasing maritime security threat both locally and internationally. With a lack of finances and political will in government to tackle the threat, the maritime security situation in the country is slowly deteriorating. This leads many commercial Port Facilities to take independent action to beef up their own defences, starting with a comprehensive review of their PFSP.

c. The scenario synopsis or narrative in **Appendix 3** will be issued to initiate the planning process, with a second narrative to advance the scenario to a subsequent stage.

### 11. **Planning Process**

a. Different planning processes and methods are available to conduct the Port Facility Security Assessment. The Port Facility will at least be familiar with the one performed for the formulation of its PFSP. 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 familiarisation 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. While a Port Facility may choose to undertake a full review of the PFSP, a review of changes to the Port Facility since the publication of its PFSP and subsequent implementation of the recommendations from the lessons learnt should satisfy the requirements both for this exercise as well as endorsement of verification for the Statement of Compliance. The planning may take place over a period of one day, on completion of which a written PFSP should be prepared and presented to top management for formal endorsement.



## 12. 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. The Chief Controller should monitor the development of the plan by the participants closely, and be prepared to introduce injects to test any new port facility security initiatives formulated during the planning stage. These should be incorporated in the Master Events List.

b. In general, injects should seek to test:

- (1) All aspects of the PFSP, in particular any new initiatives.
- (2) Command, control and coordination procedures and processes.
- (3) Communications channels and procedures.

c. The range of injects for this exercise covers the entire span of the Port Facility's obligations towards maritime security at all Security Levels. Thus, all injects presented in the Port Facility Exercises FE21 to FE 26 would be applicable, and they may be referred to and applied if required. Some topics that may be considered for injects are:

- (1) Types of access control measures.
- (2) Physical security measures.
- (3) Procedures and processes e.g. perimeter patrol duty cycle.
- (4) Cargo handling.
- (5) Handling of ships stores.
- (6) Interfacing with ships.
- (7) Reporting procedures, communications means, and points-of-contact.
- (8) Personnel management, including ships' personnel.
- (9) Changing the Security Level.



d. During the execution phase of a tabletop simulation exercise, injects from the Master Events List are issued by the Chief Controller or Lower Controllers 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.

### 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, 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) Organisation 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. The revised PFSP is endorsed and printed following any adjustments after the formal presentation to management for approval.

b. The execution phase has been completed with the planned injects employed.

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 planning and tabletop simulation of the execution phase may be conducted later, as the PFSP 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.

**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 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.





## 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>Principal exercise</i>	<i>PE12 – Port Facility Security Plan Exercise</i>	<i>PF/101/08-PE12 dated xx/yy/zzzz</i>

**PE12 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 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</i> <i>Control</i> <i>Room</i>	<i>Security</i> <i>Guard,</i> <i>Fixed</i> <i>Stations</i>	<i>Security</i> <i>Guard,</i> <i>Roving</i>	<i>Ship /</i> <i>Vessels</i>	<i>High</i> <i>Control</i>	<i>Low</i> <i>Control</i>
<i>Telephone</i>	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."



## **PE 12 SCENARIO SYNOPSIS**

### **NARRATIVE NO. 1**

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

1. *The economic situation in the country has been steadily deteriorating. With its traditional exports to an economic giant taking a steep drop since the start of a recession in that major economic power, and no take-up by local and regional economies, there have been many bankruptcies and the jobless rate is at an all time high. Society is undergoing an upheaval, with people being displaced from their homes owing to defaults on payments of their loans.*

2. *A growing number have turned to crime, and some have even taken to joining gangs of robbers at sea. Others have targeted container trucks both on their way to and from ports. Some of the very poor have also begun to try and escape the conditions by trying to stowaway on board ships. As a result, incidents of sea robberies and other maritime security concerns have risen dramatically.*

#### ***Incidents at the Port Facility***

3. *A 40 ft TEU was found by the security staff at the container truck entrance to have a broken seal on its door. When queried, the driver said he did not know anything about it, and that he had not stopped anywhere along the way. The alert security staff called in the PFSO and the Operations Manager contacted the shippers who sent a representative to participate in the check of the container's contents. All items were found to be in order except for a consignment of specialised printing presses. The Police were called in and the driver handed over to them for questioning.*

4. *There have been 7 cases of theft at the Port Facility in the past year. Items stolen include small but valuable cargo items awaiting loading, miscellaneous ships stores, laptop computers from the administration office and copper water pipes for renovation works at the toilets 3 months ago.*

5. *In addition, there have been 2 cases of vandalism and theft of copper lightning conductor grounding cables from the roof and wall of Warehouse 1 and 4.*

6. *Eight persons tried unsuccessfully to enter the Port Facility under false pretenses. Two had proper identification documents but their purpose could not be verified. Four tried using false identification documents and two had no identification documents at all.*

*No reports were made against them, and their true purpose for entering the Port Facility is not known, but it is believed they were either attempted stowaways or petty thieves.*



7. *Three ships complained of stowaways found on board after having sneaked into the Port Facility premises. Two other ships found stowaways while at sea. They were handed over to the local police at the next port of call. As a result of the Police enquiries, this Port Facility had to pay a penalty of \$5,000 for the security lapses which allowed the stowaways' access.*

### ***Infrastructure Works***

8. *The engineering department has installed a reverse-osmosis water maker to ensure continuity of water supply for the Port Facility. However, the new shed housing the unit is abutting the southern perimeter fence, and the maintenance crew have raised a query over its vulnerability. Moreover, the roof extends in such a way that it blocks the view of a perimeter surveillance camera.*

### ***Actions Taken***

9. *Owing to cost-cutting measures, the Port Facility has had a overall reduction in staff. The security department has been very under-staffed and security personnel have even been employed in port operations work. Little action has been taken on the security lapses owing to the lack of funds. The PFSO has warned that unless something is done soon, the deteriorating security situation may see the total shutdown of the Port Facility if an attack were to be carried out.*

### ***Recommendations***

10. *It is recommended that a thorough review of Port Facility security and the PFSP be undertaken in view of the deteriorating security situation, and the increased risk to Port Facility operations.*



## NARRATIVE NO. 2

### **General Security Situation**

1. *The security situation has now become very serious, with demonstrations being held almost daily. Despite a ban on strikes, there has been widespread worker dissatisfaction, and striking workers may be seen almost everywhere. The government has threatened severe punishment for all violent demonstrators, but so far has held off arresting anyone, although the Police have manhandled the leaders of the demonstrations. Things came to a head last night when arsonists set a building in the city centre on fire. Cars nearby were also overturned and set alight. The government has imposed a dusk to dawn curfew.*

2. *Reports in the morning after the building fire was extinguished indicate that 3 bodies were recovered so far. Eyewitnesses report that the fire started in a department store in the building, and spread rapidly. Elsewhere, the government is taking a strong stand and more arrests have been made.*

### **Maritime Industry**

3. *In view of the increased threat from civil disorder and terrorist activity, the Designated Authority has declared that the Security Level is to be raised to Security Level 2 with immediate effect. The Port Facility must act immediately to raise the Security Level measures to Level 2, and advise all ships alongside and vessels intending to call at the Port Facility of the change.*

### **Security Incidents at the Port Facility**

4. *The sabotage of the security lighting, and cutting of an access hole in the perimeter fencing in the same position as the location where the surveillance cameras are blocked by the new RO Plant shed seem to indicate support from inside the Port Facility, particularly someone who is familiar with the Control Room security camera display. The Port facility has decided that the risk of a major attack is too great, and has hired a private investigator to try and catch the culprit associated with the intrusions.*

5. *The Designated Authority has informed the Port Facility that it has received an intelligence report regarding the threat of a stolen motor launch being used as a vessel bomb by terrorists. The Port Facility is especially vulnerable as Port Facility staff may recognise the berthing assistance staff as their own, and not as a threat.*

**PE12 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>Conduct of the Port Facility security re-assessment commences</i>
<i>Date:</i>				
002	0200	Low Control	<i>Security lighting at Zone 3 unserviceable</i>	<i>To deploy maintenance team</i>
003	0300	High Control	<i>Maintenance office reports no response from maintenance team sent to repair security lighting</i>	<i>Security team to investigate. Security team to be armed (batons, etc) and warned to proceed with caution in Zone 3</i>
004	0310	Low Control	<i>Security team reports maintenance team member unconscious. No one else in sight.</i>	<i>To deploy assistance</i>
005	0315	Low Control	<i>Maintenance team member appears at the administrative office and reports that his team-mate suffered electrical shock, fell off the ladder, and needs medical attention</i>	<i>Administrative office to call for ambulance, inform the maintenance office to send someone to accompany the injured man and bring his documents, inform management and prepare to notify the next-of-kin. Maintenance office to arrange for repair to the Zone 3 security lighting. To initiate investigation</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>
006	0345	Low Control	Operations staff tasked to check security lighting reports that the cabling seems to have been cut and the wire jammed into an insulated part of the lamp post	To suspect sabotage and inform Police
007	0355	Low Control	Operations staff reports they do not have expertise to make a permanent repair to the lighting cable	To get electrical contractor to repair security lighting cable
008	0930	Management	Endorsement of the revised PFSP	Participants should present a brief review of the PFSP followed by the proposed changes in detail
009	0940	Low Control	Security patrol reports that a hole has been cut in the perimeter fence	Maintenance team to investigate and repair
010	1000	Low Control	Security patrol is unable to determine if intruders have entered Port Facility premises	Send stand-by team to conduct search. Order review of surveillance camera records
011	1010	High Control	Security Control Centre reports surveillance cameras unable to see repair team at site. Camera view blocked by RO plant shed	To identify post-RO plant installation blind spots
012	1040	Low Control	Security team unable to find anyone suspicious and no one near site saw anything suspicious	Continue search
013	1050	Low Control	Tower crane operator reports someone behaving suspiciously at wharf Restricted Area. The person then left.	Security team to investigate
014	1115	Low Control	Wharf Restricted Area searched. Nothing found.	Identify gaps in security measures and recommend reinforcement measures
015	1130	High Control	Security guards at Main Entrance report to the PFSO that a truck driver delivering ship stores to MV XXX at Berth B does not have any identification document with him. He says he forgot his wallet today	To check with MV XXXX if ship's stores are expected





<b>SERIAL NO.</b>	<b>TIME</b>	<b>FROM</b>	<b>HIGH CONTROL INJECT / LOW CONTROL RESPONSE</b>	<b>PARTICIPANT'S EXPECTED RESPONSE</b>
016	1145	Low Control	<i>MV XXX says they did not order any ship stores</i>	<i>Guards to detain truck and inspect its contents</i>
017	1155	Low Control	<i>Driver returns to truck with security guard. On pretext of getting the keys to the cargo doors, he gets in the truck and drives away</i>	<i>To activate planned measures for such a scenario – alert guard-house to activate barriers and send response team to location</i>
018	1200	Low Control	<i>Security guard reports he has the truck registration number</i>	<i>Report to Police and Designated Authority</i>
019	1210	Low Control	<i>The chain link fence has been repaired</i>	<i>To note in status board</i>
020	1215	Low Control	<i>The Port Facility has a motor launch for transportation of the berthing assistance crew. The crew has reported that the launch is missing. They claim it was securely berthed at its usual jetty</i>	<i>To report loss to Police and alert Coast Guard with description of craft. To check surveillance camera records and update Police / Coast Guard</i>
021	1230	High Control	<i>Designated Authority reports the possibility of sea borne attack by terrorists on ports and port facilities</i>	<i>To request more Coast Guard patrols off the Port Facility. To activate additional security measures e.g. seaborne patrols. Inform ships in the Port Facility</i>
022	1240	High Control	<i>Patrol team reported a man with binoculars on a communications tower nearby.</i>	<i>Standby security team to investigate. To record on CCTV. To contact Police</i>
023	1250	Low Control	<i>Standby security team rushed to the site and caught the man coming down. The man claimed to be bird-watching, and told the team they had no right to detain him as the Port Facility did not own the tower</i>	<i>To inform Police</i>
024	1310	Low Control	<i>Man leaves</i>	<i>To record incident</i>
025	1315	High Control	<i>Police arrive and ask for man's identification features</i>	<i>Query patrol team and provide information to Police</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>
026	1320	Low Control	Patrol team has mobile phone picture of the man	To recall Patrol team to make copy of the picture for the Police
027	1330	High Control	Issue of Narrative No. 2	Port Facility to implement measures for Security Level 2
028	1400	High Control	2 of the 3 ships alongside are not already at Security Level 2. DoS had been exchanged with the ship at Security Level 2 when she came alongside 3 days ago when the Port Facility was still at Security Level 1	The PFSO to request a meeting with the SSOs of the 2 ships alongside that are not at Security Level 2 regarding the exchange of a DoS.
029	1430	Low Control	Security guard at wharveside surveillance tower reports seeing a motor launch similar to the Port Facility's berthing crew launch approaching the Port Facility	To request Coast Guard to check vessel as it may be the stolen motor launch
030	1445	Low Control	Wharveside guard reports the motor launch being pursued by Coast Guard patrol boat. The launch stopped and was boarded by Coast Guard. After some time, the launch left the area	To note inability of the Port Facility to respond to seaborne threats
031	1500	High Control	Coast Guard informed that the motor launch reported by the Port Facility was carrying a group of anglers. They were told to clear away from the restricted area	To monitor movement of launch until well clear of the Port Facility
032	1505	High Control	Personal bag screening machine has failed	To revert to manual search. To arrange for repair
033	1510	Low Control	Cargo security reported 20 ft TEU with consignment of furniture delivered for MV GGG. There is no MV GGG in port nor is one scheduled to call at the port. There is no record of MV GGG ever calling at this Port Facility	To deny access and direct truck driver to verify



<b>SERIAL NO.</b>	<b>TIME</b>	<b>FROM</b>	<b>HIGH CONTROL INJECT / LOW CONTROL RESPONSE</b>	<b>PARTICIPANT'S EXPECTED RESPONSE</b>
034	1515	Low Control	<i>Truck driver checks with his office and insists that he is at the correct Port Facility</i>	<i>To deny entry</i>
035	1520	Low Control	<i>A clerk in the administration office was surprised when a small quantity of odourless white powder spilled from a mailed envelope as it was being cut open.</i>	<i>Report to the PFSO, management and State authorities. To respond in accordance with PFSP procedures: e.g. Sealing off the office. Isolation of personnel suspected to be exposed to the substance. Shutting down central air-conditioning.</i>
036	1625	High Control	<i>State security agency biochemical warfare team and medical team arrives to remove the powder and affected personnel, and sanitise the room and its surrounds</i>	<i>Provide support to cordon off the area. Consider staff evacuation. Skeleton staff for coordination and support</i>
037	1630	Chief Control	<i>End of exercise</i>	

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 PE12**

#### **INTRODUCTION**

1. *Exercise PE12 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 was conducted as a review of the Port Facility's Security Plan and involved a cross-section of security, operational, engineering, logistics and HR functions in the Port Facility.*

#### **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. HGN, Director, Operations*
- b. *Exercise Chief Controller – Mr. YHG, Safety and Security Manager*
- c. *Exercise High Controller (Operations) – Mr. YDH,*  
*etc.*

4. *Exercise Participants*

- a. *PFSP – Mr. PLK*
- b. *Security Supervisor*
- etc.*

#### **EXERCISE OBJECTIVE**

5. *The exercise was planned to undertake a comprehensive review of the Port Facility Security Plan, 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. A planning phase culminated in a comprehensive review of the PFSP. The Port Facility Security Assessment format used in the formulation of the original PFSP x years ago was again used in the review. However, as only those areas in which changes have been made in the Port Facility concerning maritime security were addressed, the review was undertaken satisfactorily within the allocated time. The RSO that*



*performed the original PFSA and developed the PFSP was again contracted, but this time it was to provide oversight and guidance during the exercise.*

*7. In the execution phase the participants practiced the command, control and communications for maritime security activities at the Port Facility. There was no live or deployment component in this exercise. However, controllers and participants “walked the ground” extensively as part of the planning for the review of the PFSP.*

#### LESSONS LEARNT & RECOMMENDATIONS

*8. The camera surveillance system at the RO plant shed must be revised to overcome the obstruction to the view of the perimeter fence. A camera to monitor the RO plant security is also required.*

*9. Arrangements must be made for the security of the Port Facility’s water-borne assets, such as vessels, pontoons, etc.*

*10. The bag screening machine has a technical fault that has been acknowledged by the agents. When a manufacturer fix has been deployed, this Port Facility’s machine will be upgraded.*

*11. Participants are familiar and comfortable with existing reporting procedures and communications for events such as unexpected and unusual deliveries, security threats like chemicals in the mail, etc.*

*12. The RSO commended the Port Facility security management and staff on a well-planned and executed exercise.*

#### FOLLOW-UP ACTION

*13. The PFSO will be assisted by the engineering department to find a solution to the security of the Port Facility’s berthing assistance motor launch, etc.*

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



CONCLUSION

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

*Signed  
Mr. HGN  
Director, Operations  
Port Facility*

*Copy to:  
Designated Authority*

XYZ Port Facility  
Maritime Security Exercise

Controller Briefing

date

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Port Facility Security Plan  
Exercise

Exercise PE12

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Port Facility Security Plan Exercise

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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Port Facility Security Plan Exercise

Schedule

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

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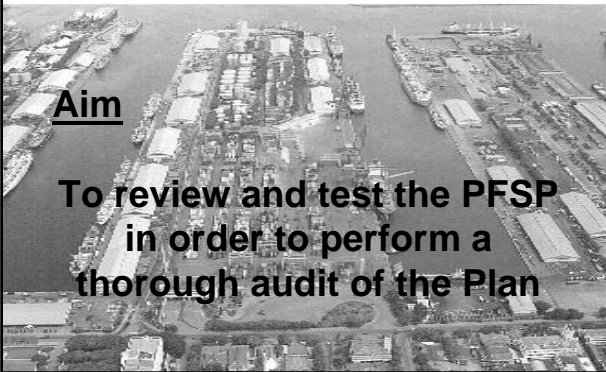
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Port Facility Security Plan Exercise



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Port Facility Security Plan Exercise

Objectives

- To update the Port Facility Security Plan, taking into account changes to the Port Facility
- To practice the command, control, coordination and communications for security activities both within and beyond the Port Facility

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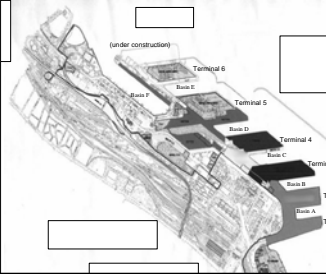
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Port Facility Security Plan Exercise

Required Attainments

On completion of the exercise, a revised PFSP should be submitted for endorsement verification and/or the issue of a Statement of Compliance by the DA



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Port Facility Security Plan Exercise

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

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Port Facility Security Plan Exercise

Participants

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Port Facility Security Plan Exercise

Exercise Format

- A systematic planning process is to be employed to address the maritime security issues at the Port Facility



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Port Facility Security Plan Exercise

Exercise Format

- The review of the maritime security issues will be followed by a tabletop simulation “execution” phase where participants will respond to controller “injects” of incidents
- Drills to be incorporated for a live exercise

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Port Facility Security Plan Exercise

Exercise Product

- Revisions to the PFSP should follow the recommendations and lessons learnt from this exercise



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Port Facility Security Plan Exercise

Scenario

Narrative

- Increasing maritime security threat both locally and internationally
- Government lacks finances and political will to tackle the threat
- Maritime security situation in the country is slowly deteriorating
- Theft, vandalism, unauthorised entry and stowaways at the Port Facility

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Port Facility Security Plan Exercise

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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Port Facility Security Plan Exercise

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	Conduct of the Port Facility security re-assessment commences
Date:				
002	0200	Low Control	Security lighting at Zone 3 unserviceable	To deploy maintenance team
003	0300	High Control	Maintenance office reports no response from maintenance team sent to repair security lighting	Security team to investigate. Security team to be armed (batons, etc) and warned to proceed with caution in Zone 3
004	0310	Low Control	Security team reports maintenance team member unconscious. No one else in sight.	To deploy assistance

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## Port Facility Security Plan Exercise

### Master Events List

SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
005	0315	Low Control	Maintenance team member appears at the administrative office and reports that his team-mate suffered electrical shock, fell off the ladder, and needs medical attention	Administrative office to call for ambulance, inform the maintenance office to send someone to accompany the injured man and bring his documents, inform management and prepare to notify the next-of-kin. Maintenance office to arrange for repair to the Zone 3 security lighting. To initiate investigation
006	0345	Low Control	Operations staff tasked to check security lighting reports that the cabling seems to have been cut and the wire jammed into an insulated part of the lamp post	To suspect sabotage and inform Police
007	0355	Low Control	Operations staff reports they do not have expertise to make a permanent repair to the lighting cable	To get electrical contractor to repair security lighting cable
008	0930	Management	Endorsement of the revised PFSP	Participants should present a brief review of the PFSP followed by the proposed changes in detail

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## Port Facility Security Plan Exercise

### Master Events List

SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
009	0940	Low Control	Security patrol reports that a hole has been cut in the perimeter fence	Maintenance team to investigate and repair
010	1000	Low Control	Security patrol is unable to determine if intruders have entered Port Facility premises	Send stand-by team to conduct search. Order review of surveillance camera records
011	1010	High Control	Security Control Centre reports surveillance cameras unable to see repair team at site. Camera view blocked by RO plant shed	To identify post-RO plant installation blind spots
012	1040	Low Control	Security team unable to find anyone suspicious and no one near site saw anything suspicious	Continue search
013	1050	Low Control	Tower crane operator reports someone behaving suspiciously at wharf Restricted Area. The person then left.	Security team to investigate
014	1115	Low Control	Wharf Restricted Area searched. Nothing found.	Identify gaps in security measures and recommend reinforcement measures
015	1130	High Control	Security guards at Main Entrance report to the PFSO that a truck driver delivering ship stores to MV XXX at Berth B does not have any identification document with him. He says he forgot his wallet today	To check with MV XXXX if ship's stores are expected

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## Port Facility Security Plan Exercise

### Master Events List

SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
016	1145	Low Control	MV XXX says they did not order any ship stores	Guards to detain truck and inspect its contents
017	1155	Low Control	Driver returns to truck with security guard. On pretext of getting the keys to the cargo doors, he gets in the truck and drives away	To activate planned measures for such a scenario – alert guard-house to activate barriers and send response team to location
018	1200	Low Control	Security guard reports he has the truck registration number	Report to Police and Designated Authority
019	1210	Low Control	The chain link fence has been repaired	To note in status board
020	1215	Low Control	The Port Facility has a motor launch for transportation of the berthing assistance crew. The crew has reported that the launch is missing. They claim it was securely berthed at its usual jetty	To report loss to Police and alert Coast Guard with description of craft. To check surveillance camera records and update Police / Coast Guard
021	1230	High Control	Designated Authority reports the possibility of sea borne attack by terrorists on ports and port facilities	To request more Coast Guard patrols off the Port Facility. To activate additional security measures e.g. seaborne patrols. Inform ships in the Port Facility

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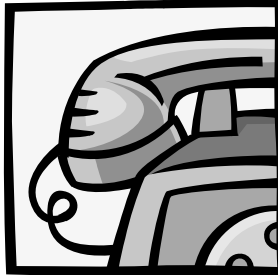
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## Port Facility Security Plan Exercise

### Communications

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




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## Port Facility Security Plan Exercise

### Communications Plan

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

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## Port Facility Security Plan Exercise

### 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
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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."

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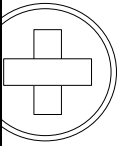
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Port Facility Security Plan Exercise



Safety

- No special safety considerations for the planning and 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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Port Facility Security Plan Exercise

Resources

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

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Port Facility Security Plan Exercise

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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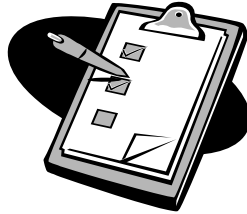
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Port Facility Security Plan Exercise

Debrief

- Location:
- Secretary:
- Attendance
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Port Facility Security Plan Exercise



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XYZ Port Facility  
Maritime Security Exercise

Participant Briefing

date

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Port Facility Security Plan  
Exercise

Exercise PE12

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Port Facility Security Plan Exercise

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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Port Facility Security Plan Exercise

**Review of Previous Port Facility Exercise**

Date conducted:

Objectives:

Lessons Learnt:

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Port Facility Security Plan Exercise

**Schedule**

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

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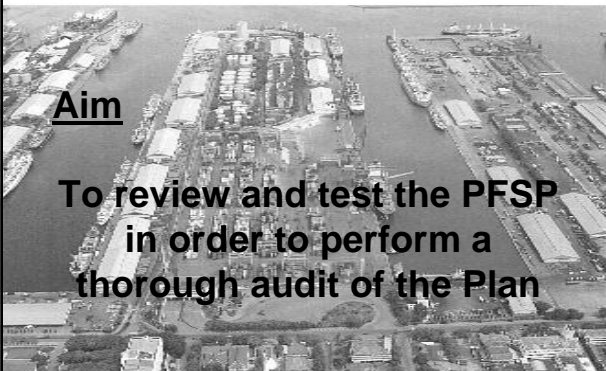
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Port Facility Security Plan Exercise



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Port Facility Security Plan Exercise

Objectives

- To update the Port Facility Security Plan, taking into account changes to the Port Facility
- To practice the command, control, coordination and communications for security activities both within and beyond the Port Facility

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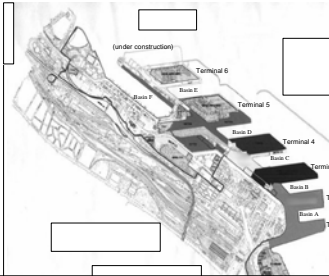
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Port Facility Security Plan Exercise

Required Attainments

On completion of the exercise, a revised PFSP should be submitted for endorsement verification and/or the issue of a Statement of Compliance by the DA



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Port Facility Security Plan Exercise

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

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Port Facility Security Plan Exercise

Participants

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Port Facility Security Plan Exercise

Exercise Format

- A systematic planning process is to be employed to address the maritime security issues at the Port Facility



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Port Facility Security Plan Exercise

Exercise Format

- The review of the maritime security issues will be followed by a tabletop simulation “execution” phase where participants will respond to controller “injects” of incidents
- Drills to be incorporated for a live exercise

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Port Facility Security Plan Exercise

Exercise Product

- Revisions to the PFSP should follow the recommendations and lessons learnt from this exercise



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Port Facility Security Plan Exercise

Scenario

Narrative

- Increasing maritime security threat both locally and internationally
- Government lacks finances and political will to tackle the threat
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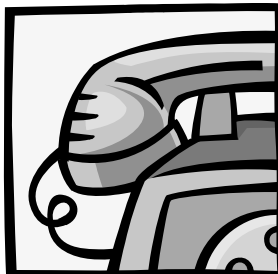
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Port Facility Security Plan Exercise

Communications

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



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## Port Facility Security Plan Exercise

### Communications Plan

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

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## Port Facility Security Plan Exercise

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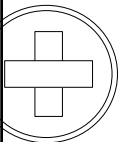
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## Port Facility Security Plan Exercise



### Safety

- No special safety considerations for the planning and 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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Port Facility Security Plan Exercise

Resources

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

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Port Facility Security Plan Exercise

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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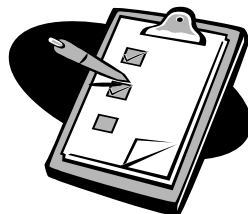
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Port Facility Security Plan Exercise

Debrief

- Location:
- Secretary:
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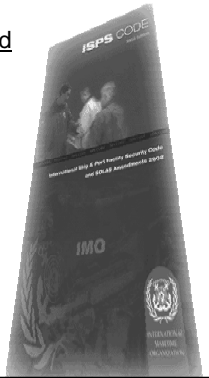
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Port Facility Security Plan Exercise

Updates on the ISPS Code and local Regulations

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Port Facility Security Plan Exercise

Developments in Maritime Security



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Port Facility Security Plan Exercise



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