



Manual of Maritime Security

Drills and Exercises

for Port Facilities

Draft Version – April 2008



INTRODUCTION

Under the provisions of the ISPS Code Part A, Sections 18.3 and 18.4 and Part B, Sections 18.4, 18.5 and 18.6, Port Facilities are required to conduct maritime security drills at least every three months and participate in maritime security exercises at least once a calendar year, with not more than 18 months between exercises.

The Asia-Pacific Economic Conference (APEC), specifically, the APEC Transportation Working Group, recognised the need to assist Port Facilities with guidelines for the conduct of maritime security drills and exercises so that they may comply faithfully with the ISPS requirements. These guidelines are therefore published as part of the APEC Transportation Working Group's technical assistance program.

The development of this Manual was assisted by the conduct of a Questionnaire on the best practices in maritime security among the APEC Economies. Responses to the questionnaire contributed to the comprehensiveness of the Manual, which can now be considered a reflection of those best practices.

Drills and exercises take up organisational time and resources, and must therefore be conducted in as efficient and effective a manner as possible. This Manual serves to provide a systematic and comprehensive approach to the planning, preparation for, conduct, debrief and reporting of maritime security drills and exercises. It is divided into two Volumes. Volume I deals with drills and Volume II deals with exercises.

The guidelines contained in Part 1 of each Volume may be used to plan and conduct drills and exercises of any type. Menus of maritime security drills and exercises are provided in Part 2 of each Volume. For ease of use, each drill and each exercise in Part 2 is accompanied by comprehensive instructions so that no reference need be made to Part 1. It is recommended that users be familiar with the contents of Part 1 before using the menu of drills and exercises provided in Part 2.

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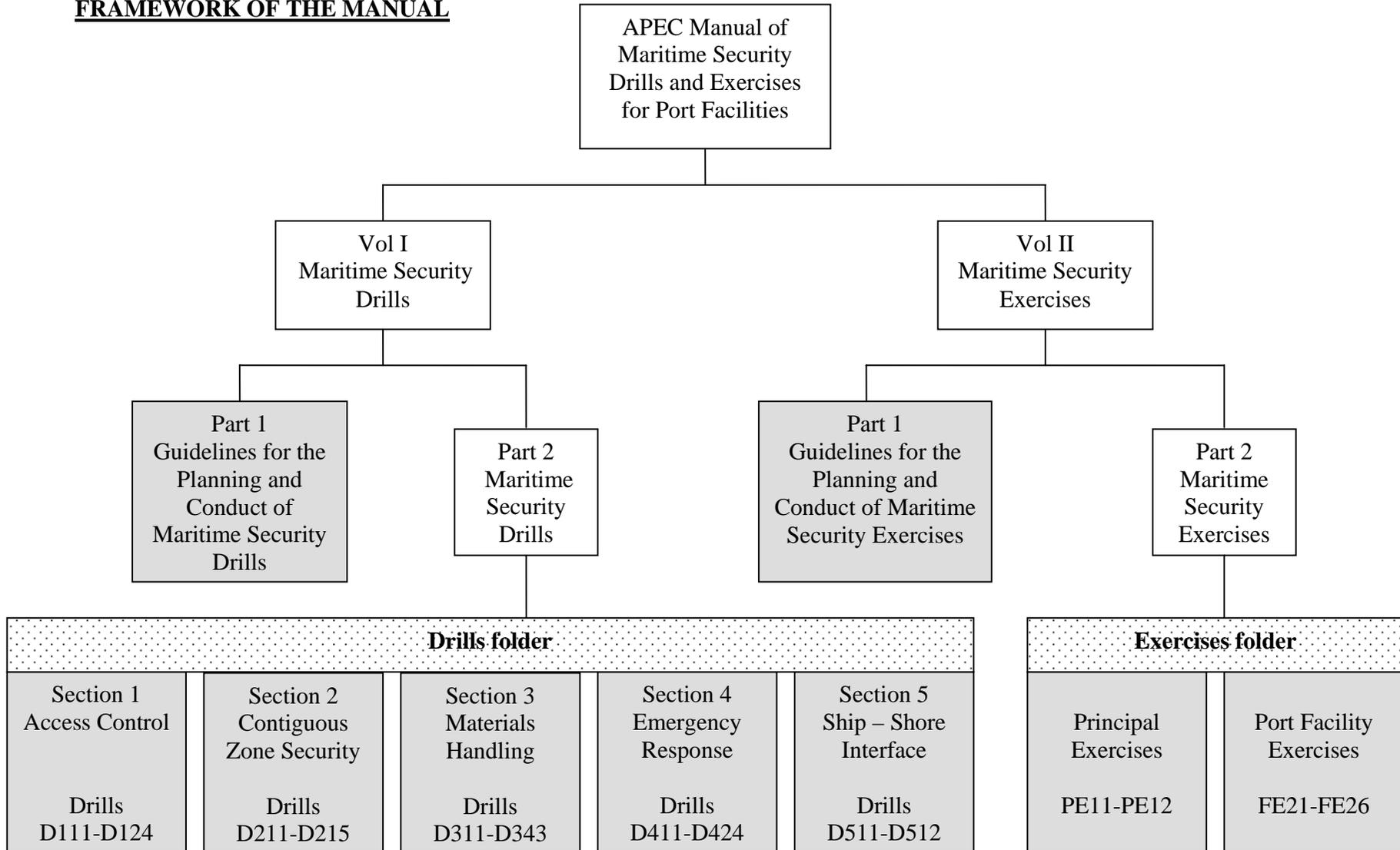
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FRAMEWORK OF THE MANUAL



Covering pages / Notes



Manuals



GLOSSARY

AIS	Automatic Identification System (SOLAS Amendments 2002 - Chapter 5, amended Regulation 19)
Communications security	Prevention of eavesdropping on communications.
Controller	An individual who plans and conducts an exercise or drill by providing guidance, instructions and directions to the participants.
Debrief	Discussion on the proceedings of the drill or exercise in order to derive the lessons learnt and recommendations.
EPCT	Exercise Planning and Control Team – A team of controllers
Initiating Directive	A document that sets out the tasks and requirements for the participants to address
Inject	An event introduced during the conduct of a drill or exercise designed to elicit a response from the participants for the purpose of evolving the scenario and/or achieving one or more of the drill/exercise objectives.
Line authority	Hierarchical authority within any organisation.
Participants	Individuals who are the subject of the exercise or drill i.e. the persons being exercised.
Recce Scenario	Reconnoiter or survey A fictitious account or tale to set the scene for the exercise.
Scenario synopsis	A brief account of the scenario, in written form.
SSAS	Ship Security Alert System (SOLAS Amendments 2002 – Chapter 11-2, Regulation 6)
Stakeholder	Person or organisation with a vested interest in an activity.
Start State	The situation at the commencement of the execution phase of an exercise, giving the location and numbers of forces and personnel at a point in time
VACIS	Vehicle And Cargo Inspection System – gamma-ray viewer

Volume I

Maritime Security Drills



Volume 1 - Part 1

GUIDELINES

FOR THE PLANNING

AND CONDUCT OF

MARITIME SECURITY DRILLS



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INTRODUCTION

1. Drills are managed events involving procedures and personnel in the practice of specific activities with the objective of meeting a particular operating requirement. Drills are generally limited in scope to specific procedures. They are conducted frequently to maintain or improve proficiency and are usually conducted within the organization, in this case the Port Facility. Being relatively simple to execute, they do not require extensive management.

AIM

2. The primary objectives in conducting maritime security drills are to practice the skills, test the equipment and validate the procedures relating to the detection and deterrence of maritime security threats. Drills are targeted at the operative level of a Port Facility's organization and develop personnel to maintain a high level of readiness against maritime security threats.

PLANNING

3. **Schedule**

a. The first item in planning is the schedule for the drills. Drills "should be conducted at least every three months". Therefore, it is convenient to schedule the drill in the overall annual work or project management plan for the Port Facility. A time-table for each drill during the year should then be drawn up, with planning commencing about a month before the conduct of the drill.

For example

A time-table for the drill will contain the duration to/from the conduct of the drill, the calendar date, the activity, and any other notations or remarks. An example of a time-table is given in [Appendix 1](#).

b. If the local authority schedules and conducts maritime security exercises on an annual basis and involves Port Facilities in these exercises, consider scheduling a drill to coincide with the exercise to add realism and to leverage on the resources that may be committed by the local authority.



4. **Planning Process**

a. Specify the objectives of the drill

(1) **Aim and Objectives.** The first task is to determine what are the aims and objectives of the drill. It is useful to describe general and specific objectives so as to be very clear on what is to be achieved by the drill. Inputs for the objectives may be obtained from:

(a) Port Facility Security Plan: Reference to the Port Facility Security Plan will provide the basis on which to build the objectives for a specific drill or series of drills. This is because all drills should be targeted at exercising some aspect of the Plan.

(b) Lessons Learnt: There is usually the need to assess the effectiveness of measures taken in response to findings from the outcome of drills conducted previously. These will form one basis for the formulation of objectives for the next drill.

For example

The general objective of the drill is to test the effectiveness of the screening measures for personal belongings brought into the Port Facility.

The specific objectives may be stated as follows:

- To examine the flow of bags, etc through the screening facility
- To prevent the passage of contraband past the screening station
- To practice security personnel in apprehending and detaining suspicious persons.

(2) Treat it as a game: While it is acknowledged that maritime security is a serious business, the learning objective in drills is to derive maximum benefit from the training opportunity they afford. Pedagogically, the game element, when introduced into drills, can enhance the learning experience. Treating the drill as a game in the planning stage also provides scope for un-tested or unforeseen aspects of the Port Facility's security arrangements to be drawn out. One approach to formulating objectives for security drills is to treat, rather than a routine. With Maritime Security drills, the game aspect is relatively easy to imagine and implement, and any "cops-and-robbers" or "Counter-Strike" type scenario can inject interest and excitement.



(3) Performance indicators: Where appropriate, performance indicators or required attainments may be set for the drill. This will facilitate the assessment of successful outcomes at the conduct of the drill, and focus the rest of the process on the desired outcomes for the specific drill. Where objective measures of performance is not possible or appropriate, one might subjectively assess the extent of compliance in security staff actions against existing security instructions. This will lead to a “compliance benchmark” being established over time, with 100% compliance meaning the security instructions were fully complied with during the drill.

For example

The required attainments for this drill are as follows:

- To perform 100% scrutiny of all personal belongings entering the Port Facility
- To detect the simulated contraband item(s).
- To attain a not more than 10% increase in the duration for screening of personal belongings.

b. Select the type of drill

(1) The next item in the planning agenda is to identify the type of drill to be conducted. The following factors may guide the selection of the type of drill for a particular quarter:

- (a) A masterplan for a series of drills with the same (or similar) theme that may be of progressively increasing:
 - i. complexity in scenario
 - ii. threat level
 - iii. level of participation

For example

It may be decided that an anti-intrusion drill is to take place. This may be the second drill in a series of progressively more complex anti-intrusion drills

- (b) A specific type of threat that is of current interest

For example

Stowaways may have been headline news in the local press recently, and it may be deemed opportune to practice personnel screening arrangements at the port facility.



(c) Recently identified weakness or lapses in security

For example

The local police may have recently seized contraband goods that are reputed to have passed through port facilities in the immediate area. The drill can focus on materials scanning to reinforce the security concerns.

(d) Revision and testing of lessons learnt from the previous drill

For example

In the previous drill, it was determined that a security procedure was deficient, and that some equipment, and a minor change in procedure would rectify this. With the equipment now acquired, it is opportune to test the new procedure and equipment.

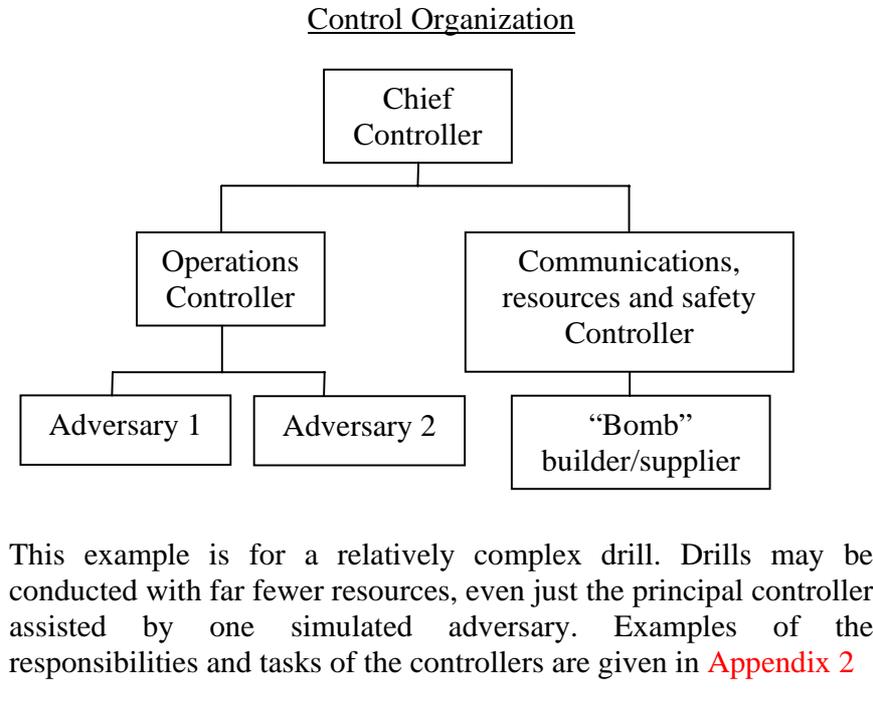
(2) Drills may be selected from the menu provided in Section 2 of this Manual.

c. Form the “control team”

(1) Every drill, simple or complex, must have someone take charge of the events and be responsible for the outcomes. Simple drills may be managed by one individual, but he will require assistance to provide the “threat”. More complex drills may require a fairly large team to manage the different aspects of the scenario. These persons are all part of the “control team” or “controllers”. The person managing the scenario is the Chief Controller. The persons providing inputs for the participants to react to (e.g. by acting as the “threat”) are known as “Lower Controllers”. In large organizations with several tiers in the hierarchy, Lower Controllers may be the subordinates of participants. These employees may form part of the Control Team and are cued to provide the inputs for the participants’ action. “Participants” or “players”, who are the subject of the drill, are generally personnel performing their normal employment task, such as security guards. As all Port Facilities need to conduct the drills, it may be possible for Port Facilities to assist each other by providing their staff as controllers. Other sources of “adversary” personnel may be suppliers and contractors with business interests at the Port Facility.



For example



(2) Briefing – The control team must be briefed on the aim and objectives of the drill so that they may contribute effectively to the planning process that follows.

d. Draft the scenario

A credible “cops-and-robbers” tale lends realism and a sense of excitement to the drill. The storyboard will set the scene and focus all participants on the events as they unfold.

For example
Intelligence passed on by the local authorities suggests that there may be the threat of a bomb being brought into a port facility by a vendor or contractor servicing the facility. Further details such as the type of vehicle being used or the suspicious person may be included.

e. Draft the Injects

The Master Events List is a list of events associated with the scenario that, when initiated in turn, may reasonably be expected to elicit a response from the participants that will generate a specific outcome or learning point. Thus, they will be based on the Drill Objectives. The Injects may be time-based or event-based, i.e. the next event on the list will be initiated by a specific assigned time, or



by the occurrence of a particular event e.g. the reaction of a participant. The Injects list may be managed by the principal controller as if directing a movie. The Master Events List should not be regarded as being cast in stone. Where required, especially during the conduct of the drill, injects may be modified in order to meet the objectives set.

For example

A Master Events List is a table usually incorporating columns for the time, event number, details of the event, anticipated response from the participants, and any special notes. An example of a Master Events List is given in [Appendix 3](#).

f. Termination

The plan must include instructions for the actions and activities relating to the end of the drill.

For example

- Assembly or re-deployment of personnel.
- Return, accounting or disposal of materials and equipment.
- Restoration and making-good of property.

5. **Communications**

a. Plan the communications needs and channels that will be employed during the drill. Controllers will require an independent means of communications among themselves. The established communications means and channels should be employed by the participants, unless a new communications arrangement is being tested during the drill. These communications means should be checked and verified prior to the conduct of the drill.

For example

Controllers may use their personal mobile phones to communicate, or in some cases where quick reactions are expected, walkie-talkies may be required. These should operate on a different circuit from those used by security staff.



- b. Codewords should be generated and made known to all participants. Codewords serve to make anticipated announcements clear and brief.

<u>For example</u>	
Drill Commence	: The drill is to start
Drill Suspend	: The drill is temporarily suspended
Drill Go	: The drill is to resume from where it was suspended
Drill Stop	: The drill is to be terminated (prematurely)
Drill End	: The drill is completed

6. Resources

Plan the resources that are needed for the drill. The scenario will also dictate the resources to be employed for the drill. These will include equipment and materials, as well as on-site refreshments and even meals if the drill duration requires it.

<u>For example</u>	
If an “adversary” controller is expected to bring a simulated bomb into the Port Facility by a van, the vehicle must be provided, and a simulated “bomb” has to be constructed that will pass muster as such in screening devices.	

7. Budget

Some expenditure may be expected for the conduct of drills. These may include outsourcing of the conduct to a Recognised Security Organisation. Drills should therefore be budgeted for in the annual budget exercise of the Port Facility.

8. Safety

- a. Have an independent body oversee the safety aspects of the drill. He should consider the scenario, the Master Events List and all equipment to be used in his safety review, then endorse the drill for safe conduct. All activity involves a measure of risk – the risk of choking when having a meal does not mean that one should forgo meals. When all reasonable safety precautions have been observed, unforeseen accidents should not be occasions for the laying of blame, rather for valuable lessons to be drawn.

<u>For example</u>	
In the excitement of the drill, enthusiasm can get the better of some personnel. A special advisory may be promulgated to warn participants against mistreatment of simulated “adversaries” when caught. Participants should be reminded of the local laws, rules and regulations pertaining to citizens’ authority, rights and liabilities.	



- b. The roles and functions of a drills safety officer are given in [Appendix 4](#).

ENDORSEMENT

9. If the management so desires, approval should be sought at this stage for the conduct of the drill, elaborating on the details from the planning process outlined above, including the budgetary and other resource requirements.

CONDUCT THE DRILL

10. **Briefing**

- a. The “controllers” must be briefed prior to the conduct of the drill to ensure consistency in the delivery of injects, and providing guidance to participants as the drill unfolds. Participants receiving conflicting instructions or erroneous reports or poorly timed inputs will be at least distracted, or worse, become disinterested.

- b. Participants should be briefed just before the conduct of the drill. While participants are for the most part expected to perform their regular tasks, drills should be conducted primarily as a learning experience for all, rather than as a competition between the controllers and the participants. Thus, while participants need not be told the exact details of the drill, they should be aware of the objectives and especially the required attainments. The lessons learnt from previous drills of the same nature should also be reviewed during the briefing.

11. **Conduct**

- a. All personnel, controllers and participants, should be at their work stations before the specified commencement time. Generally, drills should commence on the specified time, as this will minimize the need for communications. The first event from the Injects List may also be used to commence the drill. As the drill progresses, events or “injects” from the Injects List are initiated to keep the scenario in motion. If necessary, injects and scenario may be modified as the drill progresses to ensure that the objectives can be met.

- b. Drills may be temporarily halted facility-wide or at a specific location for a number of reasons:

- (1) Safety is compromised – Where the controller(s) observe that safety has become a concern, they should halt the drill to address the concerns, and re-commence only when they are satisfied that the issues have been resolved satisfactorily. If necessary, the drill can be ended.

- (2) A particular lesson needs to be demonstrated or reinforced - Controllers and/or participants may spot a point or a lesson that is of



special interest. It may be necessary to highlight the point immediately to reinforce the lessons to be derived from it. If this requires that “play” on the drill be suspended temporarily, then it certainly would be worthwhile to do so.

(3) Difficulties faced by controllers and/or participants in the conduct of the drill – Any number of concerns or difficulties may arise during the conduct of the drill to warrant its suspension or termination. This would be determined on the spot by the principal controller.

c. Upon termination of the drill, some time should be allocated for the controllers and participants to gather their thoughts on the events, in preparation for the debrief. The duration would be dependent on the nature/complexity of the drill. Time should also be provided for housekeeping i.e. recovery, accounting and stowage of materials, restoration of services, etc.

12. Performance Indicators

Response times, among others such as correctness of procedures and processes, are important elements of operational success. Therefore, primary performance indicators such as standard operating procedures (SOP) and response times achieved by the participants in the drill for the various activities expected of them would be gauged. A good record of such performances including response times achieved at various stages of the drill should be maintained for benchmarking and future reference.

<u>For example</u>		
<u>FROM</u>	<u>TO</u>	<u>DURATION</u> <u>(mins)</u>
From activation of an event	Response by security staff	xx

DEBRIEF

13. The primary purpose of debrief is to consolidate the lessons learnt from the conduct of the drill. Thus, debrief is an essential part of the drill and must not be omitted. Debriefs are generally conducted immediately after the drill, when the lessons are fresh in the participants’ memory. A note-taker should be appointed so that the lessons are recorded for future reference. Guidance during the course of the debrief should be provided to the note taker as to what is to be recorded, such that all in attendance are able to listen in on that guidance if they wish to. A good guide would be to use the Aim, Objectives and more so, the Specific Objectives and Required Attainments of the Drill. These will also allow all in attendance to be fully cognizant of the records.



14. Guidance to individuals in preparing for the debrief:
- a. What was performed well?
 - b. What was clarified by the drill?
 - c. What take-away of significant value was derived?
 - d. What should have been done differently?
 - e. Were the objectives and required attainments achieved?

REPORTS

15. Each conduct of a drill should be followed up by a report. Depending on the organization culture, the report may be verbal or it may be written, but it is recommended that a written report be submitted to management as it serves as a record of the event and the lessons learnt therefrom.

For example

The report can cover the following:

- Title and objectives
- Date, time and duration
- Controllers and participants
- Significant events
- Lessons learnt
- Follow-up action

16. In addition to the written report, a briefing on the drill should be given at a management meeting to apprise top management of the proceedings. This will allow issues requiring management intervention to be given due attention, especially those involving financial needs for actions required as a result of lessons learnt during the drill.

RECORDS

17. The ISPS Code requires that drills be conducted by Port Facilities at least once in every three months. A simple record of the conduct of the drill may be kept as evidence of compliance.

For example

The record can note the following:

- Type of drill conducted
- Date and time of conduct

18. An example format for an ISPS Drills and Exercises Record Book is given in [Appendix 5](#).



TIME-TABLE FOR PLANNING

DAYS TO DRILL	DATE	EVENT	CHECK
D -30	(calendar	Propose the type of drill to be conducted	
D -29	dates to	Plan the scenario for the drill	
D -28	be	Confirm budget availability for items and/or	
	inserted)	services to be employed during the drill	
D -28		Identify the primary objectives	
D -28		Identify the drill control team	
D -27		Obtain management endorsement if it is required	
D -25		Plan the master injects list	
D -5		Identify the participants	
D -2		Brief the control team	
D -2		Set up items if necessary	
D -1		Brief the participants	
D day		Conduct the drill	
D day		Perform the debrief and record the lessons learnt	
D +1		Record the conduct of the drill	
D +2		Report the conduct of the drill to management	



RESPONSIBILITIES AND TASKS OF CONTROLLERS

Any activity benefits from good management, and a drill is no different – in order to ensure success, it must be properly managed. Therefore a manager or team of managers must be assigned to plan and conduct the drill. In training parlance, they are generally known as Controllers, and the head is known as the Chief Controller.

Controllers are responsible to undertake the following:

- Plan the scenario for the drill
- Identify the control team members and the participants
- Work out the time-table for the drill
- List the injects or events that will take place during the drill, relating each inject or event to a specific objective to be achieved or the development of the scenario for the drill
- Arrange for the materials and other resources such as transport, etc for the conduct of the drill
- Brief the participants on the nature, objectives and required attainments for the drill
- Conduct the drill by initiating and developing the scenario using the injects so that participants may respond
- Identify areas for improvement in procedures, materials or resources for the performance of the security task that is the subject of the drill
- Identify initiatives, good work and deficiencies in the performance of the participants
- Terminate the drill at the end of the scenario or when the objectives have been achieved
- Arrange for the stowage or disposal of materials and resources used during the drill as appropriate
- Conduct the debrief to gather feedback on the lessons learnt from the drill
- Write the report to management on the conduct of the drill
- Enter a record on the drill in the organization's official record of events

**EXAMPLE MASTER EVENTS LIST**Vehicle bomb threat to port facility

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
Date:	17 Oct XX			
001	0900	Controller briefing		Conference room
002	0930	Participant briefing		Staff recreation room
003	1000	All controllers and participants at respective positions		As appropriate
004	1001	Drill commence		
005	1105	Van with legitimate package to make delivery to ship alongside the port facility	Screening to be undertaken by security staff	Goods vehicle entry point
006	1310	Van with bomb in package to attempt entry, ostensibly to make delivery to ship alongside the port facility. Deliveryman has invalid documentation. If the deception is not detected, controller shall prompt participants.	Screening to be undertaken by security staff. Screening should detect falsified documentation and thorough check of van should reveal bomb. Bomb threat response procedure should be activated by participants	Goods vehicle entry point
007		Drill terminated	Dispersal of personnel and equipment as planned	
008		Debrief	Controllers and participants to report findings and lessons learnt	



Notes:

Serial Numbers

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

- Simple serial number: This uses a two to four digit number e.g. 01, 001 or 0001. The number of digits used depends on the expected number of injects.
- With date: This prefixes the date to the number. In the unlikely event a drill runs over more than one day, such a serial number can be useful e.g. 17001
- With date and time: This uses the date and time as the serial number, and dispenses with a separate TIME column e.g. 170930 means 17th day of the month at 9.30 a.m. (24 hr clock)



ROLES AND FUNCTIONS OF A DRILLS SAFETY OFFICER

- To examine the plans for the drills and check on the safety aspects of the proposed events, injects and probable actions and their outcomes.

- To endorse the plans after having been satisfied of their safety

- To be present at the respective scene of action during the conduct of the drills to monitor the safety situation

- To advise the Chief Controller of any potential breaches of safety

- To intervene immediately if it assessed that safety is likely to be compromised by any of the ensuing action



EXAMPLE OF A DRILLS AND EXERCISES RECORD BOOK

ISPS Port Facility Drills and Exercises Record Book			
EVENT		TYPE	DATE CONDUCTED
DRILL	EXERCISE		



Volume 1 - Part 2

MARITIME SECURITY DRILLS



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	D112	Person seeking entry without means of identification
	D113	Person seeking entry using false documents
	D114	Entry by employees without their security pass
	D115	Entry by contractor with expired term pass
	D116	Entry by ship crew / shipping agency / seafarer organization representatives without prior notice
1.2		Vehicle checks
	D121	Vehicle without authorized entry label
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	D123	Vehicle parked in, or in close proximity to a key area or Restricted Area
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	D312	Suspicious substances
	D313	Suspicious items
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SECTION	DRILL	TITLE
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INTRODUCTION

This manual is a collection of drills that may be conducted by a Port Facility using the guidelines provided. The guidelines for each drill are designed to be standalone i.e. they may be extracted, read and used to conduct the drill independently of any other instructions or guidelines, or reference to other drills. This is to facilitate the planning and conduct of drills by Port Facilities in that there is no need to make reference to any other instructions, aside from each organization's internal regulations. However, it is suggested that personnel responsible for the planning and conduct of drills should be familiar with Part 1 of this Manual - the Guidelines for the Conduct of Maritime Security Drills.

While Port Facilities are encouraged to conduct as many different types of drills as possible provided in this "menu" of drills, it is recognized that not all drills will be suitable for all types of Port Facilities. Thus, each drill may be either applied as is, adapted for application, or ignored. There is no specific sequence recommended for their conduct. Wherever possible, specific drills should not be repeated so that a wide range of different drills may be experienced by the Port Facility's security staff or agency. However, repetition of the more pertinent drills may be necessitated by factors such as staff turnover. As the Port Facility security managers become familiar with planning and conducting these drills, several different types of drills may be combined to make up a more complex scenario to maximize the benefit from the conduct of the training event.

The condition for all drills in this Manual are set at Security Level 1 and 2. No drills are specified for Level 3 when it is expected that the local authority's security apparatus would come into force.



Section 1

Access Control

It is reasonable to expect that most Port Facility premises would be considered “keep areas” or areas where the public would not be permitted unrestricted access. Such areas would then have some means of keeping unauthorised persons out of the keep zone, such as a fence. Access by personnel and vehicles into and out of the keep area would be through a gate or gates. Some security measures will be imposed over human and/or vehicular traffic through these gates. This series of drills will seek to exercise the procedures and personnel relating to the control of access by people, goods and vehicles through the security gates.

DRILL	TITLE
	Personnel checks
D111	Person entering without permission
D112	Person seeking entry without means of identification
D113	Person seeking entry using false documents
D114	Entry by employees without their security pass
D115	Entry by contractor with expired term pass
D116	Entry by ship crew / shipping agency / seafarer organization representatives without prior notice
	Vehicle checks
D121	Vehicle without authorized entry label
D122	Vehicle with suspicious person / item
D123	Vehicle parked in, or in close proximity to a key area or Restricted Area
D124	Vehicle forcing entry



Drill	D111
Category	Access Control
Type	Personnel checks
Subject	Person entering without permission
Security Level	1 and 2
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Volume I Part 1 – Guidelines for the Conduct of Maritime Security Drills 4. ISPS Code

INTRODUCTION

1. Access control is a primary security measure employed by all Port Facilities. This comprises perimeter security, and personnel and vehicle/vessel checks upon entry/exit. The integrity of access control measures depends on the quality of the personnel manning and maintaining them and the quality depends on the training, and regular audits of the personnel. When access control measures are threatened, security personnel must detect the intrusion and respond appropriately in accordance with the Port Facility's security instructions.

2. This drill proposes two attempts by individuals to enter the Port Facility premises covertly. These will require security staff to respond to the "intrusion" by the two controllers.

AIM OF THE DRILL

3. **General Objective**

To impart a greater sense of awareness among employees of the threat of unauthorized persons within the Port Facility premises



4. **Specific Objectives**

- a. To raise the awareness among employees of the threat of unauthorized personnel entering or within the Port Facility.
- b. To test the procedures for handling “intruders” in Port Facility premises.
- c. To practice personnel identification and verification procedures.
- d. Meet or better the specified benchmark response times for this drill.

REQUIRED ATTAINMENTS

5. On completion of the drill, Port Facility employees and security staff will be able to:
 - a. Apply the procedures in the Port Facility Security Plan to prevent entry by “intruders” through the Port Facility’s security measures.
 - b. Recognize all “intruders” within the Port Facility premises.
 - c. Challenge and apprehend “intruders” in accordance with the Port Facility’s procedures for personnel identification and verification.

PLANNING FOR THE DRILL

6. **Timetable**

The date for the conduct of this drill should be scheduled in the Port Facility’s annual work program. Preparations for this drill should commence 2 weeks prior to the date of conduct. An example of a time-table for the preparation and conduct of this drill is given in Appendix 1

7. **Personnel**

- a. Control Team

- (1) The Chief Controller may be the Port Facility Security Officer (PFSO) or a manager in charge of security matters. Where the first line response by security staff involves the PFSO, a manager should be considered for the appointment of Chief Controller. This will free the PFSO to respond to the situation as it develops during the drill.



(2) The Chief Controller is to arrange for two persons to be the “intruders” and one to be an accomplice to an intruder (all designated as controllers). The persons should not be familiar to Port Facility security staff.

b. Participants

The participants will be the Port Facility security staff.

c. Safety Officer

The appointment of a safety officer for this drill should be considered.

8. **Resources**

a. Equipment

Provide camera for taking photographs of key installations in the Port Facility. The camera is a prop only, and should not contain any film/memory card/battery.

b. Communications

(1) **Equipment**

(a) Mobile phone: It is recommended that mobile phones should be the preferred means of communications between the Chief Controller and the controllers, subject to the availability of a cell phone network at the location of the Port Facility.

(b) Walkie-talkie: When using walkie-talkies, note that they have a short range and short battery life. They are usually bulky and may not be easily concealed, and they may be subject to interference if left switched on, leading to discovery at awkward moments.

(2) **Codewords**

Code words are used to provide brevity and clarity in communications during the conduct of a drill. A list of suggested code words is given in Appendix 2. The code words must be promulgated to all controllers and participants of the drill.



(3) **Security**

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

c. Other requirements

- (1) Location for the debrief
- (2) Refreshments e.g. during the debrief
- (3) Person to take notes during the debrief
- (4) Stationery for note-taking

9. **Safety**

a. Security staff activity in connection with this drill would be monitored by the Safety Officer, if one is appointed. The Safety Officer should station himself at a location where he would be:

- (1) Able to observe the majority of events
- (2) Near where potentially hazardous activity may take place
- (3) Accessible should he be required in a contingency

b. Controllers with roles as intruders or drivers, etc. should be issued with a letter of identification provided in Appendix 3 to forestall any undesirable action or behavior on the part of security staff toward them.

10. **Budget**

Funding may be needed for the following:

- a. Employment of “intruders”.
- b. Transportation costs for the “intruders”.
- c. Refreshments for debrief.
- d. Reimbursement of expenses incurred by controllers or staff.

11. **Policy for disclosure**

a. The Chief Controller should decide if the drill is to be announced (i.e. participants such as security staff will be notified of the conduct of the drill) or the conduct of the drill will not be announced beforehand (i.e. the participants will not be informed of the conduct of the drill).



- b. In deciding the mode, the following may be taken into consideration:
- (1) Security - Where it is assessed that confidentiality is uncertain or difficult to maintain, it is preferable to opt for an announced drill.
 - (2) Organizational culture - Unannounced drills may be perceived as a test of the participants.
 - (3) Ships at the Port Facility - Where it is anticipated that the drill may impact in any way on ships alongside, their crew, agents, suppliers or contractors, ships alongside should be notified in advance of the drill.

12. Management endorsement

The Chief Controller should seek approval from management for the conduct of the drill. Management should be informed of the drill prior to its conduct, even if formal approval is not required.

CONDUCTING THE DRILL

13. Master Events List

- a. This drill requires the controllers, acting as “intruders”, to enter Port Facility premises using any method which is deemed to afford a good chance of success. The method selected will be determined during the planning for the drill. Some possibilities include:
- (1) Entry through a breach in the physical security measures e.g. a hole in the fence, or climbing over the fence.
 - (2) Entry through an unattended gate.
 - (3) Inattentive security staff at a manned gate.
 - (4) Distraction of security staff by an accomplice.
- b. Detection of the “intruder” is up to the normal security arrangements at the Port Facility, and following the detection, intervention by security staff in accordance with the Port Facility’s security instructions should then be expected.



c. The “injects” (simulated events) for the conduct of the drill are provided in the example of a Master Events List at Appendix 4. These would be introduced on schedule or on completion of the preceding event. Adjustments would be made to cater to the prevailing circumstances.

14. **Controller briefing**

a. The briefing to controllers will be conducted by the Chief Controller and should include the following:

- (1) Roles to be played by controllers.
- (2) Positions of controllers at the commencement of the drill.
- (3) Transport arrangements.
- (4) Suggested responses to questioning by security staff.
- (5) Safety measures.

b. Scenario

Two operatives are directed to enter the Port Facility in order to assess the security measures for a sabotage operation in the future. Each will make his attempt independently of the other, and at a different time during the day. They will attempt ingress through covert means. They may be assisted by an “accomplice” who does not enter the Port Facility premises.

c. Tasks

(1) The mission for both intruders is to photograph key installations in the Port Facility. They will carry a camera each. Examples of key installations are:

- (a) Important machinery
- (b) Pipelines for fuel/liquid cargo
- (c) Power junction boxes or cables
- (d) Catwalks or gangways that will disrupt operations if destroyed
- (e) Major fire-fighting installations

(2) Intruder 1 will make a covert attempt to gain access into the Port Facility by any of the approaches selected during planning for the drill. A well-timed and stealthy approach is required to defeat perimeter patrols, security guards at the gate, etc. “Intruders” must make the best of each situation to gain entry. The range of possible situations is too great to anticipate comprehensively in these guidelines.



- (3) Intruder 2, assisted by an accomplice, will attempt to enter the Port facility through a manned gate. The accomplice will create a distraction for Intruder 2 to gain access. The approach should be worked out and rehearsed during planning for the drill.
- (4) Once inside the Port facility, each intruder will pretend to take the requisite photographs, and if still undetected, leave the Port Facility by the most expedient route.
- (5) A simulated dialogue between the “intruders” and the Port Facility security staff is provided at Appendix 5. It is not meant as a script, but a guide to the possible interaction.
- (6) The Chief Controller will conduct the drill in accordance with the events listed in the Master Events List.
- (7) The Chief Controller should position himself at a suitable location to discreetly observe the proceedings.

15. **Participant briefing**

- a. A briefing to participants should be scheduled if it is decided that the drill is to be announced (paragraph 11). The brief to participants should include the following:
 - (1) Review of the previous drill, including the lessons learnt.
 - (2) Objectives and scenario of the drill to be conducted.
 - (3) The Port Facility’s security instructions pertaining to the drill being conducted.
 - (4) Update on the ISPS Code and/or local regulations.
 - (5) Developments in maritime security (news, events, etc)
- b. It should not include information or details of the controllers’ plans for the drill.



16. Briefing Aids

Briefing slides and notes are provided in the accompanying PowerPoint files. With entries for the names, dates, locations, etc. these may be used to conduct the briefing to controllers and to participants.

17. Condition

The Port Facility is to proceed with its daily business as usual. No prior preparations on the part of the participants and/or security arrangements are required for the conduct of this drill.

18. Performance Measurement

- a. Performance indicators should be established for this drill. Some may be dependent on the specific circumstances of the Port Facility. Ideally, performance indicators should be objective, but subjective ones may also be observed by the controllers, e.g. the degree of compliance with Port Facility security instructions.
- b. The following objective performance indicators are the target benchmark response times to be achieved for this drill:

FROM	TO	DURATION (minutes)
Entry of “intruder”	Detection of the intruder	x
Detection of intruder	Deployment of response team	y
Deployment of response team	Arrival at site of detection	z

CONCLUDING THE DRILL

19. The drill shall be ended under the following circumstances:
 - a. When the “intruder” has gained access into the Port Facility and taken photographs of key installations.
or
 - b. When the “intruder” is detected by security staff and accosted.
or
 - c. Upon the Chief Controller’s instruction.



20. Debrief

- a. Allow some time for the controllers and security staff to gather their thoughts on the events, in preparation for debrief.
- b. Assemble all participating security staff for debrief
- c. The Chief Controller should conduct the debrief
- d. Appoint a note-taker to record the salient points of the discussion and in particular the lessons learnt and any follow-up actions required. Guidance should be provided to the note-taker as to what is to be recorded.
- e. Retrieve, review then delete all photographs that may have been taken by the “intruders”.

21. Reports

- a. Report the conduct of the drill to the management, either with a written report or verbally, as required by the management. An example of a report is provided at Appendix 6.
- b. If a written report is submitted, arrange for a briefing on the drill to be given at a management meeting to inform top management of the proceedings.

22. Records

An ISPS Drills and Exercises Record Book should be maintained by the Port Facility. The following is an example of an entry in the ISPS Drill and Exercises Record Book:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
<i>15/10/XX</i>	<i>Drill</i>	<i>Access control - Personnel checks</i>	<i>D111 - Person entering without permission</i>	<i>PF/101/08-D111 dated xx/yy/zzzz</i>



D111 TIME-TABLE FOR PLANNING

DAYS TO DRILL	DATE	EVENT	CHECK
D -14	(calendar	Review the Guidelines	
D -14	dates to be	Confirm budget availability for items and/or services to be employed during the drill	
D -12	inserted)	Identify the drill control team	
D -10		Obtain management endorsement if it is required	
D -7		Refine or adjust the Master Events List if necessary	
D -5		Confirm the participants	
D -2		Brief the controllers and issue Letter of Identification, funds, etc.	
D day		Conduct the drill	
D day		Perform the debrief and record the lessons learnt	
D day		Record the conduct of the drill	
D +1		Prepare the written report on the drill	
D +2		Report the conduct of the drill to management	



CODE WORDS

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

CODE WORD	MEANING
Drill Start	The drill is to commence
Drill Suspend	The drill is temporarily suspended
Drill Go	The drill is to resume from where it was suspended
Drill Stop	The drill is to be terminated (prematurely)
Drill End	The drill is completed
For Exercise	The message or statement that follows this preamble relates to the drill only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the drill e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."



Port Facility

12 October XXXX

*The Security Officer
Port Facility*

LETTER OF IDENTIFICATION

This is to certify that *Mr. ABC* is a controller in a *Port Facility* maritime security drill being conducted on *17 October XXXX*. Please contact the undersigned and escort *Mr. ABC* to the Security Office.

signed
Mr. DEF
Port Facility Security Officer

**D111 MASTER EVENTS LIST**

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
<i>Date: 12 Oct XX</i>				
001	1600	<i>Controller briefing</i>		<i>Meeting point away from the Port Facility</i>
<i>Date: 17 Oct XX</i>				
002	0830	<i>Participant briefing*</i>		<i>Staff canteen</i>
003	0930	<i>Controllers final briefing</i>		<i>Meeting point away from the Port Facility convenient to transportation for "intruders"</i>
004	1000	<i>Controllers at respective positions</i>		<i>Chief Controller at Security Office, ostensibly to check some records</i>
005	1000	<i>"Intruder" 1 to embark transport to the Port Facility</i>		<i>"Intruder" 1 at nearby bus stop ready to embark bus to Port Facility</i>
006	1030	<i>All security staff at respective positions</i>		<i>As appropriate</i>
007	1031	<i>Drill commence</i>		
008	1105	<i>"Intruder" 1 to enter Port Facility by a hole in the fence</i>	<i>Port Facility staff should be able to spot and intercept the "intruder"</i>	<i>South perimeter fence</i>
009	1340	<i>"Intruder" 2 to embark transport to the Port Facility</i>		<i>"Intruder" 2 at nearby bus stop ready to embark bus to Port Facility</i>



SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
<i>010</i>	<i>1410</i>	<i>“Intruder” 2 to enter the Port Facility by slipping through a side gate. He may be assisted by an accomplice to create a distraction</i>	<i>Port Facility staff should be able to spot and accost the “intruder”</i>	<i>Gate C</i>
<i>011</i>	<i>1500</i>	<i>Drill End</i>	<i>Dispersal of personnel</i>	
<i>012</i>	<i>1530</i>	<i>Debrief</i>	<i>Controllers and security staff to report findings and lessons learnt</i>	<i>Staff recreation room</i>
<i>* Not required if the drill is to be conducted without prior notice to the participants</i>				

**D 111 - POSSIBLE DIALOGUE BETWEEN THE SECURITY STAFF AND THE INTRUDERS**

This dialogue serves as a guide to meet the simulation requirements of the drill. It is not meant as a script either for the security staff or the controller, but as a guide to the intent and content of the possible communication.

Security staff to Intruder	<i>Who are you?</i>
Intruder to Security staff	Any false identity may be given.
Security staff to Intruder	<i>Do you have a Port Facility security pass?</i>
Intruder to Security staff	<i>No</i>
Security staff to Intruder	<i>Show me your identification card/papers.</i>
Intruder to Security staff	<i>I didn't bring it.</i>
Security staff to Intruder 1	<i>What are you doing here?</i>
Intruder 1 to Security staff	<i>I want to see Mr. JKL (give random name).</i>
Security staff to Intruder 1	<i>What are you doing here?</i>
Intruder 2 to Security staff	<i>I am here to repair the standby generator</i>

**REPORT ON THE CONDUCT OF SECURITY DRILL D111**

Type of Drill	<i>Access control - Personnel checks</i>
Drill Conducted	<i>Person entering without permission</i>
General objective	<i>To impart a greater sense of awareness among employees of the threat of unauthorised persons within the Port Facility premises</i>
Date and time	<i>15 October XXXX at 0945 hrs.</i>
Duration	<i>5 hrs</i>
Controllers	<i>Mr GHJ, Manager, Safety and Security – Chief controller Mr YHU, Intruder 1 Mr KMJ, Intruder 2 Mr TYU, Accomplice, Intruder 2</i>
Participants	<i>Security staff from Team 2 and Team 3 All participants were briefed on the conduct of this drill</i>
Significant events	<i>1. Two “intruders” were assigned to attempt to penetrate into the company premises by covert means. 2. “Intruder” 1 found a hole in the perimeter fence and tried to enter by climbing through. He was prevented when security staff patrolling the perimeter fence saw him climbing through the hole. 3. “Intruder” 2, who was assisted by an accomplice creating a distraction, gained access through Gate C, which was manned by one security guard. He was eventually spotted by an alert contractor who noticed he did not display a security pass. The contractor reported to security staff who dealt with the “intruder” in accordance with Port Facility security procedures.</i> <i>Include photographs if relevant</i>



Lessons learnt	<ol style="list-style-type: none">1. <i>Security arrangements must be checked regularly for breaches.</i>2. <i>Security staff should be alert to, and report breaches in security such as the hole in the fence for remedial action.</i>3. <i>Two Port Facility staff admitted that they saw “intruder” 2 slip by Gate C, but claimed they thought he had a security pass as they could only see his back. All employees are reminded by this event that they have to be continuously alert to the possibility of intrusions.</i>
Follow-up action	<ol style="list-style-type: none">1. <i>The hole in the fence has been mended.</i>2. <i>Security staff were briefed on the need to report any failure of security arrangements such as fences, surveillance cameras, etc.</i>3. <i>A circular will be sent to all employees to remind them of the need for security awareness using this drill as a case in point.</i>
Performance indicators	<ol style="list-style-type: none">1. <i>From Entry of “intruder” to Detection of the intruder –x mins</i>2. <i>From Detection of the intruder to Deployment of response team – y mins</i>3. <i>From Deployment of response team to Arrival at site of detection – z mins</i>
Total cost	\$xxx



Drill	D112
Category	Access Control
Type	Personnel checks
Subject	Visitor seeking entry without means of identification
Security Level	1 and 2
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Volume I Part 1 – Guidelines for the Conduct of Maritime Security Drills 4. ISPS Code

INTRODUCTION

1. Access control is a primary security measure employed by all Port Facilities. This comprises perimeter security, and personnel and vehicle/vessel checks upon entry/exit. The integrity of access control measures depends on the quality of the personnel manning and maintaining them and the quality depends on the training, and regular audits of the personnel.

2. This drill requires security staff to respond to two attempts by individuals to enter the Port Facility premises via the normal entrance procedures, but without any means of identifying themselves.

AIM OF THE DRILL

3. **General Objective**

To gauge the reliability of the procedures for security checks on personnel entering the Port Facility.



4. Specific Objectives

- a. To determine if existing personnel security measures are adequate to prevent unauthorized persons from entering the Port Facility without proper identification.
- b. To practice personnel identification and verification procedures.
- c. To test the procedures for handling visitors to the Port Facility.
- d. Meet or better the specified compliance benchmark for this drill.

REQUIRED ATTAINMENTS

5. On completion of the drill, Port Facility employees and security staff will be able to:
- a. apply the procedures in the Port Facility Security Plan (PFSP) to personnel entering the Port Facility, in particular the procedures for personnel identification and verification
 - b. achieve denial of entry to unauthorized personnel.
 - c. Perform access control in accordance with the procedures in the PFSP

PLANNING FOR THE DRILL

6. Timetable

The date for the conduct of this drill should be scheduled in the Port Facility's annual work program. Preparations for this drill should commence 2 weeks prior to the date of conduct. An example of a time-table for the preparation and conduct of this drill is given in Appendix 1

7. Personnel

a. Control Team

- (1) The Chief Controller may be the Port Facility Security Officer (PFSO) or a manager in charge of security matters. Where the first line response by security staff involves the PFSO, a manager should be



considered for the appointment of Chief Controller. This will free the PFSO to respond to the situation as it develops during the drill.

(2) The Chief Controller is to arrange for two persons to be the Visitors (also designated as controllers). The persons should not be familiar to Port Facility security staff.

b. Participants

The participants will be the Port Facility security staff.

c. Safety Officer

The appointment of a safety officer for this drill should be considered.

8. **Resources**

a. Equipment

Provide camera for taking photographs of key installations in the Port Facility. The camera is a prop only, and should not contain any film/memory card/battery.

b. Communications

(1) **Equipment**

(a) Mobile phone: It is recommended that mobile phones should be the preferred means of communications between the Chief Controller and the controllers, subject to the availability of a cell phone network at the location of the Port Facility.

(b) Walkie-talkie: When using walkie-talkies, note that they have a short range and short battery life. They are usually bulky and may not be easily concealed, and they may be subject to interference if left switched on, leading to discovery at awkward moments.

(2) **Codewords**

Code words are used to provide brevity and clarity in communications during the conduct of a drill. A list of suggested code words is given in Appendix 2. The code words must be promulgated to all controllers and participants of the drill.



(3) **Security**

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

c. Other requirements

- (1) Location for the debrief
- (2) Refreshments e.g. during the debrief
- (3) Person to take notes during the debrief
- (4) Stationery for note-taking

9. **Safety**

a. Security staff activity in connection with this drill would be monitored by the Safety Officer, if one is appointed. The Safety Officer should station himself at a location where he would be:

- (1) Able to observe the majority of events
- (2) Near where potentially hazardous activity may take place
- (3) Accessible should he be required in a contingency

b. Controllers with roles as intruders or drivers, etc. should be issued with a letter of identification provided in Appendix 3 to forestall any undesirable action or behavior on the part of security staff toward them.

10. **Budget**

Funding may be needed for the following:

- a. Employment of “visitors”.
- b. Transportation costs for the “visitors”.
- c. Refreshments for debrief.
- d. Reimbursement of expenses incurred by controllers or staff.



11. Policy for disclosure

- a. The Chief Controller should decide if the drill is to be announced (i.e. participants such as security staff will be notified of the conduct of the drill) or the conduct of the drill will not be announced beforehand (i.e. the participants will not be informed of the conduct of the drill).
- b. In deciding the mode, the following may be taken into consideration:
 - (1) Security - Where it is assessed that confidentiality is uncertain or difficult to maintain, it is preferable to opt for an announced drill.
 - (2) Organizational culture - Unannounced drills may be perceived as a test of the participants.
 - (3) Ships at the Port Facility - Where it is anticipated that the drill may impact in any way on ships alongside, their crew, agents, suppliers or contractors, ships alongside should be notified in advance of the drill.

12. Management endorsement

The Chief Controller should seek approval from management for the conduct of the drill. Management should be informed of the drill prior to its conduct, even if formal approval is not required.

CONDUCTING THE DRILL

13. Master Events List

- a. This drill requires the controllers, acting as “visitors”, to attempt to enter the Port Facility by seeking permission in the normal manner at the Port Facility entrance. However, they will have no means of identifying themselves.
- b. The “injects” (simulated events) for the conduct of the drill are provided in the example of a Master Events List at Appendix 4. These would be introduced on schedule or on completion of the preceding event. Adjustments would be made to cater to the prevailing circumstances.



14. **Controller briefing**

a. The briefing to controllers will be conducted by the Chief Controller and should include the following:

- (1) Roles to be played by controllers.
- (2) Positions of controllers at the commencement of the drill.
- (3) Transport arrangements.
- (4) Suggested responses to questioning by security staff.
- (5) Safety measures.

b. Scenario

Two Visitors are attempting to gain access to the Port Facility in order to reconnoiter it as part of their surveillance plan for future mischief. Each operates independently of the other, and attempts to gain access at different times during the day. However, they have no information of the Port Facility organization and its personnel (i.e. they do not know the names of anyone in the organization), and they are unfamiliar with the Port Facility's operations (e.g. they do not know the names of ships alongside). They also do not have access to any forged identification documents.

c. Tasks

(1) The mission for both Visitors is to gain unrestricted (unaccompanied) access in order to survey the Port Facility and photograph key installations in the Port Facility. They will carry a camera each. Examples of key installations are:

- (a) Important machinery
- (b) Pipelines for fuel/liquid cargo
- (c) Power junction boxes or cables
- (d) Catwalks or gangways that will disrupt operations if destroyed
- (e) Major fire-fighting installations

(2) Both Visitors will approach the personnel entrance station to obtain a visitor pass.

(3) Once inside the Port facility, each "visitor" will pretend to take the requisite photographs, and if not apprehended, leave the Port Facility.



- (4) A simulated dialogue between the “visitors” and the Port Facility security staff is provided at Appendix 5. It is not meant as a script, but a guide to the possible interaction.
- (5) The Chief Controller will conduct the drill in accordance with the events listed in the Master Events List.
- (6) The Chief Controller should position himself at a suitable location to discreetly observe the proceedings.

15. **Participant briefing**

a. A briefing to participants should be scheduled if it is decided that the drill is to be announced (paragraph 11). The brief to participants should include the following:

- (1) Review of the previous drill, including the lessons learnt
- (2) Objectives and scenario of the drill to be conducted
- (3) The Port Facility’s security instructions pertaining to the drill being conducted
- (4) Update on the ISPS Code and/or local regulations
- (5) Developments in maritime security (news, events, etc)

b. It should not include information or details of the controllers’ plans.

16. **Briefing Aids**

Briefing slides and notes are provided in the accompanying PowerPoint files. With entries for the names, dates, locations, etc. these may be used to conduct the briefing to controllers and to participants.

17. **Condition**

The Port Facility is to proceed with its daily business as usual. No prior preparations on the part of the participants and/or security arrangements are required for the conduct of this drill.



18. Performance Measurement

Performance indicators should be established for this drill. Some may be dependent on the specific circumstances of the Port Facility. Ideally, performance indicators should be objective, but subjective ones may also be observed by the controllers, e.g. the degree of compliance with Port Facility security instructions.

CONCLUDING THE DRILL

19. The drill shall be ended under the following circumstances:

- a. When the “visitors” have attained their mission i.e. gained unrestricted (unaccompanied) access, and taken photographs of the Port Facility that may be used in planning an attack.
or
- b. When the “visitors” are denied entry or apprehended by Port Facility security staff.
or
- c. Upon the Chief Controller’s instruction.

20. Debrief

- a. Allow some time for the controllers and security staff to gather their thoughts on the events, in preparation for debrief.
- b. Assemble all participating security staff for debrief
- c. The Chief Controller should conduct the debrief
- d. Appoint a note-taker to record the salient points of the discussion and in particular the lessons learnt and any follow-up actions required. Guidance should be provided to the note-taker as to what is to be recorded.
- e. Retrieve, review then delete all photographs that may have been taken by the “intruders”.

21. Reports

- a. Report the conduct of the drill to the management, either with a written report or verbally, as required by the management. An example of a report is provided at Appendix 6.



- b. If a written report is submitted, arrange for a briefing on the drill to be given at a management meeting to inform top management of the proceedings.

22. Records

An ISPS Drills and Exercises Record Book should be maintained by the Port Facility. The following is an example of an entry in the ISPS Drill and Exercises Record Book:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
<i>15/10/XX</i>	<i>Drill</i>	<i>Access control - Personnel checks</i>	<i>D112 - Visitor seeking entry without means of identification</i>	<i>PF/101/08-D112 dated xx/yy/zzzz</i>



D112 TIME-TABLE FOR PLANNING

DAYS TO DRILL	DATE	EVENT	CHECK
D -14	(calendar	Review the Guidelines	
D -14	dates to be	Confirm budget availability for items and/or services to be employed during the drill	
D -12	inserted)	Identify the drill control team	
D -10		Obtain management endorsement if it is required	
D -7		Refine or adjust the Master Events List if necessary	
D -5		Confirm the participants	
D -2		Brief the controllers and issue Letter of Identification, funds, etc.	
D day		Conduct the drill	
D day		Perform the debrief and record the lessons learnt	
D day		Record the conduct of the drill	
D +1		Prepare the written report on the drill	
D +2		Report the conduct of the drill to management	



CODE WORDS

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

CODE WORD	MEANING
Drill Start	The drill is to commence
Drill Suspend	The drill is temporarily suspended
Drill Go	The drill is to resume from where it was suspended
Drill Stop	The drill is to be terminated (prematurely)
Drill End	The drill is completed
For Exercise	The message or statement that follows this preamble relates to the drill only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the drill e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."



Port Facility

12 October XXXX

*The Security Officer
Port Facility*

LETTER OF IDENTIFICATION

This is to certify that *Mr. ABC* is a controller in a *Port Facility* maritime security drill being conducted on *17 October XXXX*. Please contact the undersigned and escort *Mr. ABC* to the Security Office.

signed
Mr. DEF
Port Facility Security Officer

**D112 MASTER EVENTS LIST**

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
<i>Date: 12 Oct XX</i>				
001	1600	<i>Controllers briefing</i>		<i>Meeting point away from the Port Facility</i>
<i>Date: 17 Oct XX</i>				
002	0830	<i>Participant briefing*</i>		<i>Staff canteen</i>
003	0900	<i>Controllers final briefing</i>		<i>Meeting point away from the Port Facility convenient to transportation for the Visitors</i>
004	1000	<i>Controllers at respective positions</i>		<i>Chief Controller at Security Office</i>
005	-	<i>All security staff at respective positions</i>		<i>As appropriate</i>
006	1001	<i>Drill commence</i>		
007	1030	<i>Visitor 1 to embark transport to the Port Facility</i>		<i>Visitor 1 at nearby bus stop ready to embark bus to Port Facility</i>
008	1105	<i>Visitor 1 to attempt to obtain a visitor pass</i>	<i>Screening to be undertaken by security staff</i>	<i>Security office</i>
009	1340	<i>Visitor 2 to embark transport to the Port Facility</i>		<i>Visitor 2 at nearby bus stop ready to embark bus to Port Facility</i>
010	1410	<i>Visitor 2 to attempt to obtain a visitor pass</i>	<i>Screening to be undertaken by security staff.</i>	<i>Security office</i>
011	1500	<i>Drill End</i>	<i>Dispersal of personnel</i>	
012	1530	<i>Debrief</i>	<i>Controllers and security staff to report findings and lessons learnt</i>	<i>Staff recreation room</i>
* Not required if the drill is to be conducted without prior notice to the participants				

**D 112 - POSSIBLE DIALOGUE BETWEEN THE SECURITY STAFF AND THE “VISITORS”**

This dialogue serves as a guide to meet the simulation requirements of the drill. It is not meant as a script either for the security staff or the controller, but as a guide to the intent and content of the possible communication.

Visitor 1	
Security staff to Visitor 1	<i>What is the purpose of your visit?</i>
Visitor 1 to Security staff	<i>To see the safety supervisor to discuss safety equipment (any other equipment may be substituted e.g. machinery).</i>
Security staff to Visitor 1	<i>What do you wish to discuss with the safety supervisor?</i>
Visitor 1 to Security staff	<i>I have some new safety equipment to show him.</i>
Security staff to Visitor 1	<i>What equipment?</i>
Visitor 1 to Security staff	<i>Safety harness (any other equipment may be substituted. Carry a few brochures to support the deception. Such brochures may be obtained from shops and exhibitions).</i>
Security staff to Visitor 1	<i>Please produce your identification document in exchange for a visitor pass.</i>
Visitor 1 to Security staff	<i>(After pretending to go through wallet) Sorry, but I seem to have left my identity card/driver's license (or national means of identification) in my office.</i>
Security staff to Visitor 1	<i>Do you have any other card or document of identification?</i>
Visitor 1 to Security staff	<i>(After pretending to go through wallet) Sorry, no.</i>



Visitor 2	
Security staff to Visitor 2	<i>What is the purpose of your visit?</i>
Visitor 2 to Security staff	<i>I am from the factory next door. I want to see the General Manager about some material/rubbish you have dumped next to the fence.</i>
Security staff to Visitor 2	<i>Please produce your identification document in exchange for a visitor pass.</i>
Visitor 2 to Security staff	<i>(After pretending to go through wallet) Sorry, but I seem to have left my identity card/driver's license (or national means of identification) in my office.</i>
Security staff to Visitor 2	<i>Do you have any other card or document of identification?</i>
Visitor 2 to Security staff	<i>(After pretending to go through wallet) Sorry, no.</i>

**REPORT ON THE CONDUCT OF SECURITY DRILL D112**

Type of Drill	<i>Access control - Personnel checks</i>
Drill Conducted	<i>Unauthorized personnel seeking entry without a valid identification</i>
General objective	<i>To gauge the reliability of the procedures for security checks on personnel entering the Port Facility</i>
Date and time	<i>15 October XXXX at 0945 hrs.</i>
Duration	<i>5 hrs</i>
Controllers	<i>Mr GHJ, Manager, Safety and Security – Chief controller Mr YHU, Visitor 1 Mr KMJ, Visitor 2</i>
Participants	<i>Security staff from Team 2 and Team 3 Participants were not briefed on the conduct of this drill</i>
Significant events	<i>1. Two Visitors were assigned to attempt to penetrate into the company premises by defeating the security checks. 2. Visitor 1, who impersonated a salesman, was denied entry as he did not have identification documents on him. 3. Visitor 2, who claimed to want to see the GM, was permitted entry even though he did not have any identification documents. He was escorted by one of our security staff. He realized he could not succeed in his mission of scouting the premises and taking photographs, and turned around half-way and left on the pretext of getting something from his vehicle that he had forgotten to bring with him.</i>



Lessons learnt	<p><i>1. Visitor 1 was not apprehended as the suspicions of security staff were not sufficiently raised. It is assessed that this is acceptable as the Visitor had a reasonable cover story for his lack of identification documents.</i></p> <p><i>2. Visitor 2 made a better impression on the security staff with his cover story of seeing the GM, thus gaining him entry even though he did not have identification documents. Security staff followed the correct procedures and escorted him.</i></p> <p><i>3. Visitor 2 should have been monitored as he made his way back to his vehicle. It would then have been determined that he was not a bona fide visitor.</i></p> <p>Include photographs if relevant</p>
Follow-up action	<p><i>Security staff to be reminded that identification documents are pre-requisites to entry into the premises, regardless of excuses or whom the visitor is going to see.</i></p>
Performance indicators	<p><i>1. Prevention success rate – 2/2</i></p> <p><i>2. The degree of compliance with Port Facility security instructions in handling:</i></p> <ul style="list-style-type: none"><i>a. Visitor 1 – x%</i><i>b. Visitor 2 – y%</i>
Total cost	<p>\$xxx</p>



Drill	D113
Category	Access Control
Type	Personnel checks
Subject	Person seeking entry using false documents
Security Level	1 and 2
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Volume I Part 1 – Guidelines for the Conduct of Maritime Security Drills 4. ISPS Code

INTRODUCTION

1. Access control is a primary security measure employed by all Port Facilities. This comprises perimeter security, and personnel and vehicle/vessel checks upon entry/exit. The integrity of access control measures depends on the quality of the personnel manning and maintaining them and the quality depends on the training, and regular audits of the personnel.

2. This drill requires security staff to respond to two attempts by individuals to enter the Port Facility premises by tendering false documents at the security check point.

AIM OF THE DRILL

3. **General Objective**

To gauge the reliability of the security measures for checks on personnel entering the Port Facility

4. **Specific Objectives**

- a. To determine if existing personnel security measures are adequate to prevent unauthorized persons from entering the Port Facility using falsified identity documents.



- b. To practice personnel identification and verification procedures.
- c. To test the procedures for handling visitors to the Port Facility.
- d. Meet the specified compliance benchmark for this drill.

REQUIRED ATTAINMENTS

- 5. On completion of the drill, Port Facility employees and security staff will be able to:
 - a. apply the procedures in the Port Facility Security Plan (PFSP) to personnel entering the Port Facility, in particular the procedures for personnel identification and verification
 - b. achieve denial of entry to all unauthorized personnel.
 - c. perform access control in accordance with the procedures in the PFSP

PLANNING FOR THE DRILL

6. **Timetable**

The date for the conduct of this drill should be scheduled in the Port Facility's annual work program. Preparations for this drill should commence 2 weeks prior to the date of conduct. An example of a time-table for the preparation and conduct of this drill is given in Appendix 1.

7. **Personnel**

a. Control Team

(1) The Chief Controller may be the Port Facility Security Officer (PFSO) or a manager in charge of security matters. Where the first line response by security staff involves the PFSO, a manager should be considered for the appointment of Chief Controller. This will free the PFSO to respond to the situation as it develops during the drill.

(2) The Chief Controller is to arrange for two persons to be the Visitors (also designated as controllers). The persons should not be familiar to Port Facility security staff.



b. Participants

The participants will be the Port Facility security staff.

c. Safety Officer

The appointment of a safety officer for this drill should be considered.

8. **Resources**

a. Equipment

(1) Identification document - Fake identification documents are to be prepared and used by each “Visitor” to gain entry.

(a) “Visitor” 1 will use a fake temporary identity card. Most national authorities issue a temporary identification document when an identification card or driver’s license is reported lost, prior to a permanent replacement being issued. Such temporary identification using a fictitious name could be duplicated for the purposes of this drill.

(b) “Visitor” 2 will use a crude copy of the Port Facility’s Employee Pass. This may be prepared by scanning an actual pass, then using software to paste the photograph of the “Visitor” in place of the actual employee, and replacing the employee’s name with a fictitious name. Finally, the fake pass may be printed and laminated in plastic.

(2) Camera for taking photographs of key installations in the Port Facility. The camera is a prop only, and should not contain any film/memory card/battery.

b. Communications

(1) **Equipment**

(a) Mobile phone: It is recommended that mobile phones should be the preferred means of communications between the Chief Controller and the controllers, subject to the availability of a cell phone network at the location of the Port Facility.



(b) Walkie-talkie: When using walkie-talkies, note that they have a short range and short battery life. They are usually bulky and may not be easily concealed, and they may be subject to interference if left switched on, leading to discovery at awkward moments.

(2) **Codewords**

Code words are used to provide brevity and clarity in communications during the conduct of a drill. A list of suggested code words is given in Appendix 2. The code words must be promulgated to all controllers and participants of the drill.

(3) **Security**

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

c. Other requirements

- (1) Location for the debrief
- (2) Refreshments e.g. during the debrief
- (3) Person to take notes during the debrief
- (4) Stationery for note-taking

9. **Safety**

a. Security staff activity in connection with this drill would be monitored by the Safety Officer, if one is appointed. The Safety Officer should station himself at a location where he would be:

- (1) Able to observe the majority of events
- (2) Near where potentially hazardous activity may take place
- (3) Accessible should he be required in a contingency

b. Controllers with roles as intruders or drivers, etc. should be issued with a letter of identification provided in Appendix 3 to forestall any undesirable action or behavior on the part of security staff toward them.



10. **Budget**

Funding may be needed for the following:

- a. Employment of “visitors”.
- b. Production of false documents.
- c. Transportation costs for the “visitors”
- d. Refreshments for the debrief
- e. Reimbursement of expenses incurred by controllers or staff

11. **Policy for disclosure**

- a. The Chief Controller should decide if the drill is to be announced (i.e. participants such as security staff will be notified of the conduct of the drill) or the conduct of the drill will not be announced beforehand (i.e. the participants will not be informed of the conduct of the drill).
- b. In deciding the mode, the following may be taken into consideration:
 - (1) Security - Where it is assessed that confidentiality is uncertain or difficult to maintain, it is preferable to opt for an announced drill.
 - (2) Organizational culture - Unannounced drills may be perceived as a test of the participants.
 - (3) Ships at the Port Facility - Where it is anticipated that the drill may impact in any way on ships alongside, their crew, agents, suppliers or contractors, ships alongside should be notified in advance of the drill.

12. **Management endorsement**

The Chief Controller should seek approval from management for the conduct of the drill. Management should be informed of the drill prior to its conduct, even if formal approval is not required.

CONDUCTING THE DRILL

13. **Master Events List**

- a. This drill requires the controllers, acting as “visitors”, to attempt to enter the Port Facility by seeking permission in the normal manner at the Port facility entrance using falsified identity documents.



b. The “injects” (simulated events) for the conduct of the drill are provided in the example of a Master Events List at Appendix 4. These would be introduced on schedule or on completion of the preceding event. Adjustments would be made to cater to the prevailing circumstances.

14. **Controller briefing**

a. The briefing to controllers will be conducted by the Chief Controller and should include the following:

- (1) Roles to be played by controllers.
- (2) Positions of controllers at the commencement of the drill.
- (3) Transport arrangements.
- (4) Suggested responses to questioning by security staff.
- (5) Safety measures.

b. Scenario

Two “Visitors” are attempting to gain access to the Port Facility in order to reconnoiter it as part of their surveillance plan for an attack on the Facility. Each operates independently of the other, and attempts to gain access at different times during the day. However, they have no information of the Port Facility organization and its personnel (i.e. they do not know the names of anyone in the organization), and they are unfamiliar with the Port Facility’s operations (e.g. they do not know the names of ships alongside). They have made crude falsified identification documents.

c. Tasks

- (1) The mission for both Visitors is to gain unrestricted (unaccompanied) access in order to survey the Port Facility and photograph key installations in the Port Facility. They will carry a camera each. Examples of key installations are:
 - (a) Important machinery
 - (b) Pipelines for fuel/liquid cargo
 - (c) Power junction boxes or cables
 - (d) Catwalks or gangways that will disrupt operations if destroyed
 - (e) Major fire-fighting installations



- (2) “Visitor” 1 will approach the personnel security station at the entrance to exchange the fake temporary identity document for a visitor pass. The purpose of the visit should be pre-determined and rehearsed e.g. “to see the berthing officer about line handling training”.
- (3) “Visitor” 2 will flash the Employee Pass boldly at security staff and proceed to walk through. Should the Port Facility have electronic pass readers, “Visitor” 2 will approach security staff and confidently claim the pass reader did not work, then quickly flash the Employee Pass at security staff and proceed to walk through. “Visitor” 2 should avoid conversation if possible.
- (4) Once inside the Port facility, each “visitor” will pretend to take the requisite photographs, and if not apprehended, leave the Port Facility.
- (5) The Chief Controller will conduct the drill in accordance with the events listed in the Master Events List.
- (6) The Chief Controller should position himself at a suitable location to discreetly observe the proceedings.

15. Participant briefing

- a. A briefing to participants should be scheduled if it is decided that the drill is to be announced (paragraph 11). The brief to participants should include the following:
 - (1) Review of the previous drill, including the lessons learnt
 - (2) Objectives and scenario of the drill to be conducted
 - (3) The Port Facility’s security instructions pertaining to the drill being conducted
 - (4) Update on the ISPS Code and/or local regulations
 - (5) Developments in maritime security (news, events, etc)
- b. It should not include information or details of the controllers’ plans for the drill.



16. Briefing Aids

Briefing slides and notes are provided in the accompanying PowerPoint files. With entries for the names, dates, locations, etc. these may be used to conduct the briefing to controllers and to participants.

17. Condition

The Port Facility is to proceed with its daily business as usual. No prior preparations on the part of the participants and/or security arrangements are required for the conduct of this drill.

18. Performance Measurement

Performance indicators should be established for this drill. Some may be dependent on the specific circumstances of the Port Facility. Ideally, performance indicators should be objective, but subjective ones may also be observed by the controllers, e.g. the degree of compliance with Port Facility security instructions.

CONCLUDING THE DRILL

19. The drill shall be ended under the following circumstances:

a. When the “visitors” have attained their mission i.e. gained unrestricted (unaccompanied) access, and taken photographs of the Port Facility that may be used in planning an attack.

or

b. When the “visitors” are denied entry or apprehended by Port Facility security staff.

or

c. Upon the Chief Controller’s instruction.

20. Debrief

a. Allow some time for the controllers and security staff to gather their thoughts on the events, in preparation for the debrief.

b. Assemble all participating security staff for debrief

c. The Chief Controller should conduct the debrief



- d. Appoint a note-taker to record the salient points of the discussion and in particular the lessons learnt and any follow-up actions required. Guidance should be provided to the note-taker as to what is to be recorded.
- e. Ensure that the fake documents are recovered and destroyed after the drill.
- f. Retrieve, review then delete all photographs that may have been taken by the “intruders”.

21. Reports

- a. Report the conduct of the drill to the management, either with a written report or verbally, as required by the management. An example of a report is provided at Appendix 5.
- b. If a written report is submitted, arrange for a briefing on the drill to be given at a management meeting to inform top management of the proceedings.

22. Records

An ISPS Drills and Exercises Record Book should be maintained by the Port Facility. The following is an example of an entry in the ISPS Drill and Exercises Record Book:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
<i>15/10/XX</i>	<i>Drill</i>	<i>Access control - Personnel checks</i>	<i>D113 - Person seeking entry using false documents</i>	<i>PF/101/08-D113 dated xx/yy/zzzz</i>



D113 TIME-TABLE FOR PLANNING

DAYS TO DRILL	DATE	EVENT	CHECK
D -14	(calendar	Review the Guidelines	
D -14	dates to be	Confirm budget availability for items and/or services to be employed during the drill	
D -12	inserted)	Identify the drill control team	
D -10		Obtain management endorsement if it is required	
D -7		Refine or adjust the Master Events List if necessary	
D -5		Confirm the participants	
D -2		Brief the controllers and issue Letter of Identification, funds, etc.	
D day		Conduct the drill	
D day		Perform the debrief and record the lessons learnt	
D day		Record the conduct of the drill	
D +1		Prepare the written report on the drill	
D +2		Report the conduct of the drill to management	



CODE WORDS

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

CODE WORD	MEANING
Drill Start	The drill is to commence
Drill Suspend	The drill is temporarily suspended
Drill Go	The drill is to resume from where it was suspended
Drill Stop	The drill is to be terminated (prematurely)
Drill End	The drill is completed
For Exercise	The message or statement that follows this preamble relates to the drill only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the drill e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."



Port Facility

12 October XXXX

*The Security Officer
Port Facility*

LETTER OF IDENTIFICATION

This is to certify that *Mr. ABC* is a controller in a *Port Facility* maritime security drill being conducted on *17 October XXXX*. Please contact the undersigned and escort *Mr. ABC* to the Security Office.

signed
Mr. DEF
Port Facility Security Officer

**D113 MASTER EVENTS LIST**

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
<i>Date: 12 Oct XX</i>				
001	1600	<i>Controllers briefing</i>		<i>Meeting point away from the Port Facility</i>
<i>Date: 17 Oct XX</i>				
002	0830	<i>Participant briefing*</i>		<i>Staff canteen</i>
003	0900	<i>Controllers final briefing</i>		<i>Meeting point away from the Port Facility convenient to transportation for the Visitors</i>
004	1000	<i>Controllers at respective positions</i>		<i>Chief Controller at Security Office, on the pretext of checking some records</i>
005	-	<i>All security staff at respective positions</i>		<i>As appropriate</i>
006	1001	<i>Drill commence</i>		
007	1030	<i>Visitor 1 to embark transport to the Port Facility</i>		<i>Visitor 1 at nearby bus stop ready to embark bus to Port Facility</i>
008	1105	<i>Visitor 1 to attempt to obtain a visitor pass with fake temporary identity document</i>	<i>Screening to be undertaken by security staff</i>	<i>Security office</i>
009	1340	<i>Visitor 2 to embark transport to the Port Facility</i>		<i>Visitor 2 at nearby bus stop ready to embark bus to Port Facility</i>



SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
<i>010</i>	<i>1410</i>	<i>Visitor 2 to attempt to enter the port facility with fake employee pass</i>	<i>Screening to be undertaken by security staff</i>	<i>Security office</i>
<i>011</i>	<i>1500</i>	<i>Drill End</i>	<i>Dispersal of personnel</i>	
<i>012</i>	<i>1530</i>	<i>Debrief</i>	<i>Controllers and security staff to report findings and lessons learnt</i>	<i>Staff recreation room</i>
* Not required if the drill is to be conducted without prior notice to the participants				

**REPORT ON THE CONDUCT OF SECURITY DRILL D113**

Type of Drill	<i>Access control - Personnel checks</i>
Drill Conducted	<i>Person seeking entry using false documents</i>
General objective	<i>To gauge the reliability of the security measures for checks on personnel entering the Port Facility</i>
Date and time	<i>15 October XXXX at 0945 hrs.</i>
Duration	<i>5 hrs</i>
Controllers	<i>Mr GHJ, Manager, Safety and Security – Chief controller Mr YHU, Visitor 1 Mr KMJ, Visitor 2</i>
Participants	<i>Security staff from Team 2 and Team 3 Participants were not briefed on the conduct of this drill</i>
Significant events	<i>1. Two Visitors were assigned to attempt to penetrate into the company premises by defeating the security checks. 2. Visitor 1, who carried a fake temporary identity document, was given a visitor pass and escorted into the premises to see the Berthing Officer even though he did not have an appointment. He was able to make observations, but not photographs of the areas he was taken through. As the Berthing Officer was not in his office, Visitor 1 was left there alone and told to wait for him there. Visitor 1 managed to photograph sensitive information such as vessel movement charts, and then leave the office to wander the Port Facility premises on his own taking photographs whenever he was alone.</i>



	<p><i>Passing him, Ms VBN from the accounting department noted that this person with a visitor pass was not escorted, and alerted the security staff who apprehended him. In total, Visitor 1 was left on his own for about 55 minutes.</i></p> <p><i>3. Visitor 2 was apprehended at the gate when security officer Mr. KLM noticed the poor quality of the fake employee pass.</i></p> <p>Include photographs if relevant</p>
Lessons learnt	<p><i>1. Temporary documents are less difficult to exploit.</i></p> <p><i>2. If no prior appointment has been made, the visitor's intentions must be notified and accepted by the employee being visited before a visitor may be allowed into the Port Facility.</i></p>
Follow-up action	<p><i>1. The Port Facility Security Instructions will include a warning to be more vigilant when temporary identity documents are submitted.</i></p> <p><i>2. Security staff will be advised to check temporary identity documents with the issuing authority before allowing bearers to change them for visitor passes.</i></p> <p><i>3. Leaving a visitor unattended breaches the Port Facility Security Instructions. The contravention is more serious as the visitor was left alone in a room with confidential material in it. The security staff concerned will be reminded of his duties and given a warning.</i></p> <p><i>4. Ms VBN will be commended during the next company function.</i></p>
Performance indicators	<p><i>1. Prevention success rate – 1/2</i></p> <p><i>2. The degree of compliance with Port Facility security instructions in handling:</i></p> <ul style="list-style-type: none"><i>a. Visitor 1 – x%</i><i>b. Visitor 2 – y%</i>
Total cost	\$xxx



Drill	D114
Category	Access Control
Type	Personnel checks
Subject	Entry by employees without their security pass
Security Level	1 and 2
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Volume I Part 1 – Guidelines for the Conduct of Maritime Security Drills 4. ISPS Code

INTRODUCTION

1. Access control is a primary security measure employed by all Port Facilities. This comprises perimeter security, and personnel and vehicle/vessel checks upon entry/exit. The integrity of access control measures depends on the quality of the personnel manning and maintaining them and the quality depends on the training, and regular audits of the personnel.

2. Personnel who access the Port Facility regularly may be issued with permanent personal security passes to facilitate their work on the premises. These may be employees, contractors, suppliers or even ship agents. For various reasons, such persons may fail to bring their passes with them when reporting to work. This drill requires security staff to respond to two Port Facility employees who do not have their security passes with them.

AIM OF THE DRILL

3. **General Objective**

To practice security staff in the Port Facility's procedures for the issue of personnel security passes.



4. **Specific Objectives**

- a. To practice the entry procedures for employees who do not have their security passes.
- b. To practice personnel identification and verification procedures.
- c. To enhance the security awareness of threats to the Port Facility.
- d. Meet or better the specified compliance benchmark for this drill.

REQUIRED ATTAINMENTS

5. On completion of the drill, Port Facility employees and security staff will be able to:
 - a. Screen personnel who wish to gain entry to the Port Facility.
 - b. Verify the identity of personnel with legitimate reason to be in the Port Facility.
 - c. Apply the procedures in the Port Facility Security Plan (PFSP) to allow entry by employees of the Port Facility.

PLANNING FOR THE DRILL

6. **Timetable**

The date for the conduct of this drill should be scheduled in the Port Facility's annual work program. Preparations for this drill should commence 2 weeks prior to the date of conduct. An example of a time-table for the preparation and conduct of this drill is given in Appendix 1.

7. **Personnel**

- a. Control Team
 - (1) The Chief Controller may be the Port Facility Security Officer (PFSO) or a manager in charge of security matters. Where the first line response by security staff involves the PFSO, a manager should be considered for the appointment of Chief Controller. This will free the PFSO to respond to the situation as it develops during the drill.



(2) The Chief Controller is to arrange for two employees to take part in the drill as controllers.

b. Participants

The participants will be the Port Facility security staff.

c. Safety Officer

The appointment of a safety officer for this drill may be considered, but is not expected to be essential for this drill.

8. **Resources**

a. Communications

(1) **Equipment**

(a) Mobile phone: It is recommended that mobile phones should be the preferred means of communications between the Chief Controller and the controllers, subject to the availability of a cell phone network at the location of the Port Facility.

(b) Walkie-talkie: When using walkie-talkies, note that they have a short range and short battery life. They are usually bulky and may not be easily concealed, and they may be subject to interference if left switched on, leading to discovery at awkward moments.

(2) **Codewords**

Code words are used to provide brevity and clarity in communications during the conduct of a drill. A list of suggested code words is given in Appendix 2. The code words must be promulgated to all controllers and participants of the drill.

(3) **Security**

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



c. Other requirements

- (1) Location for the debrief
- (2) Refreshments e.g. during the debrief
- (3) Person to take notes during the debrief
- (4) Stationery for note-taking

9. **Safety**

a. Security staff activity in connection with this drill would be monitored by the Safety Officer, if one is appointed. The Safety Officer should station himself at a location where he would be:

- (1) Able to observe the majority of events
- (2) Near where potentially hazardous activity may take place
- (3) Accessible should he be required in a contingency

10. **Budget**

Funding may be needed for the following:

- a. Refreshments for debrief.
- b. Reimbursement of expenses incurred by controllers or staff.

11. **Policy for disclosure**

a. The Chief Controller should decide if the drill is to be announced (i.e. participants such as security staff will be notified of the conduct of the drill) or the conduct of the drill will not be announced beforehand (i.e. the participants will not be informed of the conduct of the drill).

b. In deciding the mode, the following may be taken into consideration:

- (1) Security - Where it is assessed that confidentiality is uncertain or difficult to maintain, it is preferable to opt for an announced drill.
- (2) Organizational culture - Unannounced drills may be perceived as a test of the participants.
- (3) Ships at the Port Facility - Where it is anticipated that the drill may impact in any way on ships alongside, their crew, agents, suppliers or contractors, ships alongside should be notified in advance of the drill.



12. Management endorsement

The Chief Controller should seek approval from management for the conduct of the drill. Management should be informed of the drill prior to its conduct, even if formal approval is not required.

CONDUCTING THE DRILL

13. Master Events List

a. This drill requires the controllers to present themselves at the security office and state that they had forgotten to bring their security passes to work with them that day. Security staff will be expected to act in accordance with the procedures specified in the Port Facility's security instructions to facilitate their entry, if the conditions are met.

b. The "injects" (simulated events) for the conduct of the drill are provided in the example of a Master Events List at Appendix 3. These would be introduced on schedule or on completion of the preceding event. Adjustments would be made to cater to the prevailing circumstances.

14. Controller briefing

a. The briefing to controllers will be conducted by the Chief Controller and should include the following:

- (1) Roles to be played by controllers.
- (2) Positions of controllers at the commencement of the drill.
- (3) Transport arrangements.
- (4) Suggested responses to questioning by security staff.
- (5) Safety measures.

b. Scenario

Employees of the Port Facility are likely to be issued with permanent security passes. For a variety of reasons, employees may forget to bring the pass when they report to the Port Facility for work. The Port Facility security instructions will have procedures to issue temporary passes to such individuals.



c. Tasks

- (1) The mission for the controllers is to gain unrestricted access in order to proceed to their place of work in the Port Facility. They will comply with all security staff instructions to gain entry to the Port Facility. They will not reveal the actual status of their permanent passes until the end of the drill is declared.
- (2) Employee 1 will not have the security pass, as it was “forgotten” in the rush to get to work. He/she will have his/her personal identity card/document, but need not offer it unless requested by security staff.
- (3) Employee 2 will not have the security pass, and will also not have his/her personal identity document, as both were “stolen” on the way to work that morning. He/she is late for work as a Police report had to be made. He/she will not have a copy of the “Police report”.
- (4) The Chief Controller will conduct the drill in accordance with the events listed in the Master Events List.
- (5) The Chief Controller should position himself at a suitable location to discreetly observe the proceedings.

15. **Participant briefing**

- a. A briefing to participants should be scheduled if it is decided that the drill is to be announced (paragraph 11). The brief to participants should include the following:
 - (1) Review of the previous drill, including the lessons learnt
 - (2) Objectives and scenario of the drill to be conducted
 - (3) The Port Facility’s security instructions pertaining to the drill being conducted
 - (4) Update on the ISPS Code and/or local regulations
 - (5) Developments in maritime security (news, events, etc)
- b. It should not include information or details of the controllers’ plans for the drill.



16. **Briefing Aids**

Briefing slides and notes are provided in the accompanying PowerPoint files. With entries for the names, dates, locations, etc. these may be used to conduct the briefing to controllers and to participants.

17. **Condition**

The Port Facility is to proceed with its daily business as usual. No prior preparations on the part of the participants and/or security arrangements are required for the conduct of this drill.

18. **Performance Measurement**

Performance indicators should be established for this drill. Some may be dependent on the specific circumstances of the Port Facility. Ideally, performance indicators should be objective, but subjective ones may also be observed by the controllers, e.g. the degree of compliance with Port Facility security instructions.

CONCLUDING THE DRILL

19. The drill shall be ended under the following circumstances:

- a. When the controller has gained entry to his workplace in the Port Facility.
or
- b. If the controller is denied entry into the Port Facility by security staff.
or
- c. Upon the Chief Controller's instruction.

20. **Debrief**

- a. Allow some time for the controllers and security staff to gather their thoughts on the events, in preparation for debrief.
- b. Assemble all participating security staff for debrief
- c. The Chief Controller should conduct the debrief
- d. Appoint a note-taker to record the salient points of the discussion and in particular the lessons learnt and any follow-up actions required. Guidance should be provided to the note-taker as to what is to be recorded.



21. Reports

- a. Report the conduct of the drill to the management, either with a written report or verbally, as required by the management. An example of a report is provided at Appendix 4.
- b. If a written report is submitted, arrange for a briefing on the drill to be given at a management meeting to inform top management of the proceedings.

22. Records

An ISPS Drills and Exercises Record Book should be maintained by the Port Facility. The following is an example of an entry in the ISPS Drill and Exercises Record Book:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
<i>15/10/XX</i>	<i>Drill</i>	<i>Access control - Personnel checks</i>	<i>D114 - Entry by employees without their security pass</i>	<i>PF/101/08-D114 dated xx/yy/zzzz</i>



D114 TIME-TABLE FOR PLANNING

DAYS TO DRILL	DATE	EVENT	CHECK
D - 14	(calendar	Review the Guidelines	
D -14	dates to be	Confirm budget availability for items and/or services to be employed during the drill	
D -12	inserted)	Identify the drill control team	
D -10		Obtain management endorsement if it is required	
D -7		Refine or adjust the Master Events List if necessary	
D -5		Confirm the participants	
D -2		Brief the controllers	
D day		Conduct the drill	
D day		Perform the debrief and record the lessons learnt	
D day		Record the conduct of the drill	
D +1		Prepare the written report on the drill	
D +2		Report the conduct of the drill to management	



CODE WORDS

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

CODE WORD	MEANING
Drill Start	The drill is to commence
Drill Suspend	The drill is temporarily suspended
Drill Go	The drill is to resume from where it was suspended
Drill Stop	The drill is to be terminated (prematurely)
Drill End	The drill is completed
For Exercise	The message or statement that follows this preamble relates to the drill only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the drill e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."

**D114 MASTER EVENTS LIST**

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
<i>Date: 12 Oct XX</i>				
001	1600	<i>Controllers briefing</i>		<i>Meeting point away from the Port Facility</i>
<i>Date: 17 Oct XX</i>				
002	0800	<i>Participant briefing*</i>		<i>Staff canteen</i>
003	0810	<i>All security staff at respective positions</i>		<i>As appropriate</i>
004	0830	<i>Drill commence</i>		
005	<i>Normal clock-in time</i>	<i>Employee 1 to report he/she "forgot" to bring his/her employee pass</i>	<i>Screening to be undertaken by security staff and temporary pass issued according to the Port Facility procedures</i>	<i>Security office</i>
006	1130	<i>Employee 2 to report that the employee pass had been "stolen" on the way to work. If/when asked for personal identity document, this has also been "stolen".</i>	<i>Screening to be undertaken by security staff</i>	<i>Security office</i>
007	1200	<i>Drill End</i>	<i>Dispersal of personnel</i>	
008	1530	<i>Debrief</i>	<i>Controllers and security staff to report findings and lessons learnt</i>	<i>Staff recreation room</i>
* Not required if the drill is to be conducted without prior notice to the participants				

**REPORT ON THE CONDUCT OF SECURITY DRILL D114**

Type of Drill	<i>Access control - Personnel checks</i>
Drill Conducted	<i>Entry by employees without their security pass</i>
General objective	<i>To practice security staff in the Port Facility's procedures for the issue of personnel security passes</i>
Date and time	<i>15 October XXXX at 0800 hrs</i>
Duration	<i>5 hrs</i>
Controllers	<i>Mr GHJ, Manager, Safety and Security – Chief controller Mr KMJ, Employee Ms FGH, Employee</i>
Participants	<i>Security staff from Team 2 and Team 3 All participants were briefed on the conduct of this drill</i>
Significant events	<i>1. Two employees reported for work without their security passes. 2. Controller Mr KMJ claimed to have forgotten to bring his permanent security pass. A temporary pass was issued by the security staff in exchange for his identity card. 3. Controller Ms FGH arrived late for work at the Port Facility. She reported to the security office that she had lost her security pass in the bus on the way to work that morning. She did not have her identity document. The security staff did not ask for a copy of the alleged Police report. A temporary pass was issued by the security staff, who recognized Ms FGH.</i>



Lessons learnt	<i>Security staff should have verified Ms FGH's employment status with her office before issuing a temporary pass. This is to prevent former employees from un-authorized access into the Port Facility. The security staff should also have asked for a copy of the alleged Police report.</i>
Follow-up action	<i>1. Security staff will be reminded of the need to verify the employment status of employees with their office if they do not carry their security pass, even if they are recognized. 2. The Port Facility security instructions will be amended to insert the requirement to check employment status.</i>
Performance indicators	<i>1. Error rate – 1/2 2. The degree of compliance with Port Facility security instructions in handling: a. Employee 1 – x% b. Employee 2 – y%</i>
Total cost	<i>\$xxx</i>



Drill	D115
Category	Access Control
Type	Personnel checks
Subject	Entry by Contractor with expired long-term pass
Security Level	1 and 2
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Volume I Part 1 – Guidelines for the Conduct of Maritime Security Drills 4. ISPS Code

INTRODUCTION

1. Access control is a primary security measure employed by all Port Facilities. This comprises perimeter security, and personnel and vehicle/vessel checks upon entry/exit. The integrity of access control measures depends on the quality of the personnel manning and maintaining them and the quality depends on the training, and regular audits of the personnel.

2. Personnel who access the Port Facility regularly may be issued with long-term personal security passes to facilitate their entry to the premises. These may be contractors, suppliers or even ship agents. For various reasons, such persons may fail to bring their passes with them or have expired passes. This drill requires security staff to respond to two contractors' personnel who have expired security passes.

AIM OF THE DRILL

3. **General Objective**

To practice security staff in the Port Facility's procedures for the issue of personnel security passes.



4. **Specific Objectives**

- a. To practice the entry procedures for contractor staff who have expired security passes.
- b. To practice personnel identification and verification procedures.
- c. To enhance the security awareness of threats to the Port Facility.
- d. Meet or better the specified compliance benchmark for this drill.

REQUIRED ATTAINMENTS

5. On completion of the drill, Port Facility employees and security staff will be able to:
 - a. screen personnel who wish to gain entry to the Port Facility.
 - b. verify the identity of personnel with legitimate reason to be in the Port Facility.
 - c. apply the procedures in the Port Facility Security Plan (PFSP) to allow entry by personnel with legitimate reason to be in the Port Facility.

PLANNING FOR THE DRILL

6. **Timetable**

The date for the conduct of this drill should be scheduled in the Port Facility's annual work program. Preparations for this drill should commence 2 weeks prior to the date of conduct. An example of a time-table for the preparation and conduct of this drill is given in Appendix 1.

7. **Personnel**

- a. Control Team

- (1) The Chief Controller may be the Port Facility Security Officer (PFSO) or a manager in charge of security matters. Where the first line response by security staff involves the PFSO, a manager should be considered for the appointment of Chief Controller. This will free the PFSO to respond to the situation as it develops during the drill.



(2) The Chief Controller is to arrange for two contractor's staff to carry "expired" passes.

b. Participants

The participants will be the Port Facility security staff.

c. Safety Officer

The appointment of a safety officer for this drill may be considered, but is not expected to be essential for this drill.

8. **Resources**

a. Props

The Chief Controller should arrange for two "expired" passes to be prepared, based on existing passes issued to the two contractor's staff participating.

b. Communications

(1) **Equipment**

(a) Mobile phone: It is recommended that mobile phones should be the preferred means of communications between the Chief Controller and the controllers, subject to the availability of a cell phone network at the location of the Port Facility.

(b) Walkie-talkie: When using walkie-talkies, note that they have a short range and short battery life. They are usually bulky and may not be easily concealed, and they may be subject to interference if left switched on, leading to discovery at awkward moments.

(2) **Codewords**

Code words are used to provide brevity and clarity in communications during the conduct of a drill. A list of suggested code words is given in Appendix 2. The code words must be promulgated to all controllers and participants of the drill.



(3) **Security**

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

c. Other requirements

- (1) Location for the debrief
- (2) Refreshments e.g. during the debrief
- (3) Person to take notes during the debrief
- (4) Stationery for note-taking

9. **Safety**

a. Security staff activity in connection with this drill would be monitored by the Safety Officer, if one is appointed. The Safety Officer should station himself at a location where he would be:

- (1) Able to observe the majority of events
- (2) Near where potentially hazardous activity may take place
- (3) Accessible should he be required in a contingency

10. **Budget**

Funding may be needed for the following:

- a. Production of two “expired” passes for contractor personnel
- b. Refreshments for debrief.
- c. Reimbursement of expenses incurred by controllers or staff.

11. **Policy for disclosure**

a. The Chief Controller should decide if the drill is to be announced (i.e. participants such as security staff will be notified of the conduct of the drill) or the conduct of the drill will not be announced beforehand (i.e. the participants will not be informed of the conduct of the drill).

b. In deciding the mode, the following may be taken into consideration:

- (1) Security - Where it is assessed that confidentiality is uncertain or difficult to maintain, it is preferable to opt for an announced drill.



(2) Organizational culture - Unannounced drills may be perceived as a test of the participants.

(3) Ships at the Port Facility - Where it is anticipated that the drill may impact in any way on ships alongside, their crew, agents, suppliers or contractors, ships alongside should be notified in advance of the drill.

12. Management endorsement

The Chief Controller should seek approval from management for the conduct of the drill. Management should be informed of the drill prior to its conduct, even if formal approval is not required.

CONDUCTING THE DRILL

13. Master Events List

a. This drill requires the controllers to report to work with “expired” passes. Security staff will be expected to detect the expired passes and act in accordance with the procedures specified in the Port Facility’s security instructions to facilitate their entry, if the conditions are met.

b. The “injects” (simulated events) for the conduct of the drill are provided in the example of a Master Events List at Appendix 3. These would be introduced on schedule or on completion of the preceding event. Adjustments would be made to cater to the prevailing circumstances.

14. Controller briefing

a. The briefing to controllers will be conducted by the Chief Controller and should include the following:

- (1) Roles to be played by controllers.
- (2) Positions of controllers at the commencement of the drill.
- (3) Transport arrangements.
- (4) Suggested responses to questioning by security staff.
- (5) Safety measures.



b. Scenario

Persons who enter the Port Facility regularly as part of their job are likely to be issued with permanent or long-term Port Facility security passes. These passes will have validity periods, and expired passes are expected to be returned, or renewed. For a variety of reasons, persons issued with such passes may forget to re-validate these passes when they expire, even though they have a legitimate reason to continue accessing the Port Facility. Security staff are expected to note the validity dates of passes issued to such persons.

c. Tasks

(1) The mission for the controllers is to gain unrestricted access in order to proceed to their place of work in the Port Facility. They will wear their “expired” passes and proceed to enter the Port Facility in their usual manner. They will not reveal the actual status of their long-term passes until the end of the drill is declared.

(2) Contractor staff 1 will have an expired security pass. He/she will report at the normal time and proceed to enter the Port Facility in the usual manner. He/she will have his/her personal identity card/document, but need not offer it unless requested by security staff.

(3) Contractor staff 2 will have an expired security pass. He/she will report several hours late for work and proceed to enter the Port Facility in the usual manner. He/she will not have his/her personal identity document, as he had lost his wallet on the way to work and had to make a Police report. He/she will not have a copy of the “Police report”.

(4) The Chief Controller will conduct the drill in accordance with the events listed in the Master Events List.

(5) The Chief Controller should position himself at a suitable location to discreetly observe the proceedings.

15. **Participant briefing**

a. A briefing to participants should be scheduled if it is decided that the drill is to be announced (paragraph 11). The brief to participants should include the following:

- (1) Review of the previous drill, including the lessons learnt
- (2) Objectives and scenario of the drill to be conducted



- (3) The Port Facility's security instructions pertaining to the drill being conducted
- (4) Update on the ISPS Code and/or local regulations
- (5) Developments in maritime security (news, events, etc)

b. It should not include information or details of the controllers' plans for the drill.

16. **Briefing Aids**

Briefing slides and notes are provided in the accompanying PowerPoint files. With entries for the names, dates, locations, etc. these may be used to conduct the briefing to controllers and to participants.

17. **Condition**

The Port Facility is to proceed with its daily business as usual. No prior preparations on the part of the participants and/or security arrangements are required for the conduct of this drill.

18. **Performance Measurement**

Performance indicators should be established for this drill. Some may be dependent on the specific circumstances of the Port Facility. Ideally, performance indicators should be objective, but subjective ones may also be observed by the controllers, e.g. the degree of compliance with Port Facility security instructions.

CONCLUDING THE DRILL

19. The drill shall be ended under the following circumstances:
- a. When the controller has gained entry to his workplace in the Port Facility.
or
 - b. If the controller is denied entry into the Port Facility by security staff.
or
 - c. Upon the Chief Controller's instruction.



20. Debrief

- a. Allow some time for the controllers and security staff to gather their thoughts on the events, in preparation for the debrief.
- b. Assemble all participating security staff for debrief
- c. The Chief Controller should conduct the debrief
- d. Appoint a note-taker to record the salient points of the discussion and in particular the lessons learnt and any follow-up actions required. Guidance should be provided to the note-taker as to what is to be recorded.

21. Reports

- a. Report the conduct of the drill to the management, either with a written report or verbally, as required by the management. An example of a report is provided at Appendix 4.
- b. If a written report is submitted, arrange for a briefing on the drill to be given at a management meeting to inform top management of the proceedings.

22. Records

An ISPS Drills and Exercises Record Book should be maintained by the Port Facility. The following is an example of an entry in the ISPS Drill and Exercises Record Book:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
<i>15/10/XX</i>	<i>Drill</i>	<i>Access control - Personnel checks</i>	<i>D115 - Entry by Contractor with expired long-term pass</i>	<i>PF/101/08-D115 dated xx/yy/zzzz</i>



D115 TIME-TABLE FOR PLANNING

DAYS TO DRILL	DATE	EVENT	CHECK
D - 14	(calendar	Review the Guidelines	
D -14	dates to be	Confirm budget availability for items and/or services to be employed during the drill	
D -12	inserted)	Identify the drill control team	
D -10		Obtain management endorsement if it is required	
D -7		Refine or adjust the Master Events List if necessary	
D -5		Confirm the participants	
D -2		Brief the controllers	
D day		Conduct the drill	
D day		Perform the debrief and record the lessons learnt	
D day		Record the conduct of the drill	
D +1		Prepare the written report on the drill	
D +2		Report the conduct of the drill to management	



CODE WORDS

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

CODE WORD	MEANING
Drill Start	The drill is to commence
Drill Suspend	The drill is temporarily suspended
Drill Go	The drill is to resume from where it was suspended
Drill Stop	The drill is to be terminated (prematurely)
Drill End	The drill is completed
For Exercise	The message or statement that follows this preamble relates to the drill only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the drill e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."

**D115 MASTER EVENTS LIST**

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
<i>Date: 12 Oct XX</i>				
001	1600	<i>Controllers briefing</i>		<i>Meeting point away from the Port Facility</i>
<i>Date: 17 Oct XX</i>				
002	0800	<i>Participant briefing*</i>		<i>Staff canteen</i>
003	-	<i>All security staff at respective positions</i>		<i>As appropriate</i>
004	0830	<i>Drill commence</i>		
005	-	<i>Contractor staff to attempt entry with an expired long-term security pass</i>	<i>Screening to be undertaken by security staff and temporary pass issued according to the Port Facility procedures</i>	<i>Security office</i>
006	1410	<i>Contractor staff to attempt entry with an expired long-term security pass. He/she will also not have a personal identity document</i>	<i>Screening to be undertaken by security staff</i>	<i>Security office</i>
007	1500	<i>Drill End</i>	<i>Dispersal of personnel</i>	
008	1530	<i>Debrief</i>	<i>Controllers and security staff to report findings and lessons learnt</i>	<i>Staff recreation room</i>
* Not required if the drill is to be conducted without prior notice to the participants				



REPORT ON THE CONDUCT OF SECURITY DRILL D115

Type of Drill	<i>Access control - Personnel checks</i>
Drill Conducted	<i>Entry by Contractor with expired long-term pass</i>
General objective	<i>To practice security staff in the Port Facility's procedures for the issue of personnel security passes</i>
Date and time	<i>15 October XXXX at 0800 hrs.</i>
Duration	<i>5 hrs</i>
Controllers	<i>Mr GHJ, Manager, Safety and Security – Chief controller Mr KMJ, Contractor staff Mr PLK, Contractor staff</i>
Participants	<i>Security staff from Team 2 and Team 3 All participants were briefed on the conduct of this drill</i>
Significant events	<i>1. Two contractor staff with legitimate reason to access the Port Facility proceeded to enter in their usual manner as they have done each day. 2. Contractor staff 1 displayed an expired long term security pass, but it was not noticed by security staff, and he proceeded into the Port Facility. 3. Contractor staff 2 arrived late at the Port Facility. His expired long-term security pass was detected. He did not have his personal identity document and could not produce the Police report he claimed to have made. Security staff also checked with the Port Facility building construction manager and verified Mr. PLK's status, but continued to refuse him entry.</i>



Lessons learnt	<i>Security staff should have verified the validity of all permanent and long-term security passes, even if the bearers are recognized individuals, and are entering the Port Facility en masse, as during the morning rush hour.</i>
Follow-up action	<i>1. Security staff will be reminded of the need to verify the validity of permanent and long-term security passes, even during rush periods. 2. Security staff Mr. YHB, who was responsible for detecting Mr. PLK's expired pass and denying him entry has been commended. 3. Mr. YHB's check with the contractor even though he had already decided that Mr. PLK did not qualify for entry was appropriate, and Port Facility security instructions will be amended to insert the requirement to check with the company office in such situations.</i>
Performance indicators	<i>1. Error rate – 1/2 2. The degree of compliance with Port Facility security instructions in handling: a. Employee 1 – x% b. Employee 2 – y%</i>
Total cost	<i>\$xxx</i>



Drill	D116
Category	Access Control
Type	Personnel checks
Subject	Entry by ship crew / shipping agency / seafarer organization representatives without prior notice
Security Level	1 and 2
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Vol I Part 1 – Guidelines for the Conduct of Maritime Security Drills 4. ISPS Code

INTRODUCTION

1. Access control is a primary security measure employed by all Port Facilities. This comprises perimeter security, and personnel and vehicle/vessel checks upon entry/exit. The integrity of access control measures depends on the quality of the personnel manning and maintaining them and the quality depends on the training, and regular audits of the personnel.

2. Personnel who access the Port Facility regularly may be issued with long-term personal security passes to facilitate their entry to the premises. These may be contractors, suppliers or even ship agents. For various reasons, such persons may fail to bring their passes with them, or have expired passes. Some may come under a different regimen despite having been issued long-term passes, such as having to notify the Port Facility prior to each visit. This drill requires security staff to respond to a request for access by pre-authorized persons who do not fully meet all the stipulated rules at point of entry.

AIM OF THE DRILL

3. General Objective

To practice security staff in the Port Facility's procedures for the issue of personnel security passes.



4. **Specific Objectives**

- a. To practice the entry procedures for pre-authorized personnel with long-term security passes.
- b. To practice personnel identification and verification procedures.
- c. To enhance the security awareness of threats to the Port Facility.
- d. Meet or better the specified compliance benchmark for this drill.

REQUIRED ATTAINMENTS

5. On completion of the drill, Port Facility employees and security staff will be able to:
 - a. Screen personnel who wish to gain entry to the Port Facility.
 - b. Verify the identity of personnel with legitimate reason to be in the Port Facility.
 - c. Apply the procedures in the Port Facility Security Plan (PFSP) to allow entry by personnel with legitimate reason to be in the Port Facility.

PLANNING FOR THE DRILL

6. **Timetable**

The conduct of this drill should be scheduled in the Port Facility's annual work program. However, as the participation of a ship agency and ship crew member are required, the specific date is likely to be fixed only when the controllers required by this drill are available, and the circumstances required by this drill are met. An example of a timetable for the preparation and conduct of this drill is given in Appendix 1.

7. **Personnel**

- a. Control Team

- (1) The Chief Controller may be the Port Facility Security Officer (PFSO) or a manager in charge of security matters. Where the first line response by security staff involves the PFSO, a manager should be considered for the appointment of Chief Controller. This will free the PFSO to respond to the situation as it develops during the drill.



(2) The Chief Controller is to obtain prior agreement with a ship agent to take part in this drill when the personnel required as controllers are available. These are as follows:

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

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

b. Participants

The participants will be the Port Facility security staff.

c. Safety Officer

The appointment of a safety officer for this drill may be considered, but is not expected to be essential for this drill.

8. **Resources**

a. Communications

(1) **Equipment**

(a) Mobile phone: It is recommended that mobile phones should be the preferred means of communications between the Chief Controller and the controllers, subject to the availability of a cell phone network at the location of the Port Facility.

(b) Walkie-talkie: When using walkie-talkies, note that they have a short range and short battery life. They are usually bulky and may not be easily concealed, and they may be subject to interference if left switched on, leading to discovery at awkward moments.

(2) **Codewords**

Code words are used to provide brevity and clarity in communications during the conduct of a drill. A list of suggested code words is given in Appendix 2. The code words must be promulgated to all controllers and participants of the drill.



(3) **Security**

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

c. Other requirements

- (1) Location for the debrief
- (2) Refreshments e.g. during the debrief
- (3) Person to take notes during the debrief
- (4) Stationery for note-taking

9. **Safety**

a. Security staff activity in connection with this drill would be monitored by the Safety Officer, if one is appointed. The Safety Officer should station himself at a location where he would be:

- (1) Able to observe the majority of events.
- (2) Near where potentially hazardous activity may take place.
- (3) Accessible should he be required in a contingency.

10. **Budget**

Funding may be needed for the following:

- a. Refreshments for debrief.
- b. Reimbursement of expenses incurred by controllers or staff.

11. **Policy for disclosure**

a. The Chief Controller should decide if the drill is to be announced (i.e. participants such as security staff will be notified of the conduct of the drill) or the conduct of the drill will not be announced beforehand (i.e. the participants will not be informed of the conduct of the drill).

b. In deciding the mode, the following may be taken into consideration:

- (1) Security - Where it is assessed that confidentiality is uncertain or difficult to maintain, it is preferable to opt for an announced drill.



(2) Organizational culture - Unannounced drills may be perceived as a test of the participants.

c. While this drill does not directly involve the ship alongside, her ship agent and joining crew are participating as controllers. The ship should therefore be notified in advance of the drill.

12. **Management endorsement**

The Chief Controller should seek approval from management for the conduct of the drill. Management should be informed of the drill prior to its conduct, even if formal approval is not required.

CONDUCTING THE DRILL

13. **Master Events List**

a. This drill requires the Port Facility security staff to respond to a request for entry by a ship agent's representative and a joining crew member of a ship alongside. Security staff will be expected to act in accordance with the procedures specified in the Port Facility's security instructions on this matter.

b. The "injects" (simulated events) for the conduct of the drill are provided in the example of a Master Events List at Appendix 3. These would be introduced on schedule or on completion of the preceding event. Adjustments would be made to cater to the prevailing circumstances.

14. **Controller briefing**

a. The briefing to controllers will be conducted by the Chief Controller and should include the following:

- (1) Roles to be played by controllers.
- (2) Positions of controllers at the commencement of the drill.
- (3) Transport arrangements.
- (4) Suggested responses to questioning by security staff.
- (5) Safety measures.



b. Scenario

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

c. Tasks

- (1) The mission for the controllers is to gain access to the Port Facility in order to proceed to the ship. They will comply with all security staff instructions to gain entry. The ship agent's representative will have his valid long-term pass available. Both controllers should have their personal identification documents on them, but need not offer these unless requested by security staff.
- (2) The Chief Controller will conduct the drill in accordance with the events listed in the Master Events List.
- (3) The Chief Controller should position himself at a suitable location to discreetly observe the proceedings.

15. **Participant briefing**

a. A briefing to participants should be scheduled if it is decided that the drill is to be announced (paragraph 11). The brief to participants should include the following:

- (1) Review of the previous drill, including the lessons learnt
- (2) Objectives and scenario of the drill to be conducted
- (3) The Port Facility's security instructions pertaining to the drill being conducted
- (4) Update on the ISPS Code and/or local regulations
- (5) Developments in maritime security (news, events, etc)

b. It should not include information or details of the controllers' plans for the drill.



16. Briefing Aids

Briefing slides and notes are provided in the accompanying PowerPoint files. With entries for the names, dates, locations, etc. these may be used to conduct the briefing to controllers and to participants.

17. Condition

The Port Facility is to proceed with its daily business as usual. No prior preparations on the part of the participants and/or security arrangements are required for the conduct of this drill.

18. Performance Measurement

Performance indicators should be established for this drill. Some may be dependent on the specific circumstances of the Port Facility. Ideally, performance indicators should be objective, but subjective ones may also be observed by the controllers, e.g. the degree of compliance with Port Facility security instructions.

CONCLUDING THE DRILL

19. The drill shall be ended under the following circumstances:

- a. When the controllers have gained entry to the Port Facility; or,
- b. If the controllers are denied entry into the Port Facility; or,
- c. Upon the Chief Controller's instruction.

20. Debrief

- a. Allow some time for the controllers and security staff to gather their thoughts on the events, in preparation for debrief.
- b. Assemble all participating security staff for debrief
- c. The Chief Controller should conduct the debrief
- d. Appoint a note-taker to record the salient points of the discussion and in particular the lessons learnt and any follow-up actions required. Guidance should be provided to the note-taker as to what is to be recorded.

21. Reports



- a. Report the conduct of the drill to the management, either with a written report or verbally, as required by the management. An example of a report is provided at Appendix 4.
- b. If a written report is submitted, arrange for a briefing on the drill to be given at a management meeting to inform top management of the proceedings.

22. Records

An ISPS Drills and Exercises Record Book should be maintained by the Port Facility. The following is an example of an entry in the ISPS Drill and Exercises Record Book:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
<i>15/10/XX</i>	<i>Drill</i>	<i>Access control - Personnel checks</i>	<i>D116 - Entry by ship crew / shipping agency / seafarer organization representatives without prior notice</i>	<i>PF/101/08-D116 dated xx/yy/zzzz</i>



D116 TIME-TABLE FOR PLANNING

DAYS TO DRILL	DATE	EVENT	CHECK
-		Obtain agreement from ship agent to participate in the drill when control personnel are available and circumstances are met.	
D -14	(calendar	Review the Guidelines	
D -12	dates to be	Confirm budget availability for items and/or services to be employed during the drill	
D -10	inserted)	Obtain management endorsement if it is required	
D -7		Refine or adjust the Master Events List if necessary	
D -5		Confirm the controllers with the ship agent	
D -2		Brief the controllers	
D day		Conduct the drill	
D day		Perform the debrief and record the lessons learnt	
D day		Record the conduct of the drill	
D +1		Prepare the written report on the drill	
D +2		Report the conduct of the drill to management	



CODE WORDS

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

CODE WORD	MEANING
Drill Start	The drill is to commence
Drill Suspend	The drill is temporarily suspended
Drill Go	The drill is to resume from where it was suspended
Drill Stop	The drill is to be terminated (prematurely)
Drill End	The drill is completed
For Exercise	The message or statement that follows this preamble relates to the drill only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the drill e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."

**D116 MASTER EVENTS LIST**

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
<i>Date: 15 Oct XX</i>				
001	1600	<i>Controllers briefing</i>		<i>Meeting point away from the Port Facility</i>
<i>Date: 17 Oct XX</i>				
002	0900	<i>Participant briefing*</i>		<i>Staff canteen</i>
003	-	<i>All security staff at respective positions</i>		<i>As appropriate</i>
004	0930	<i>Drill commence</i>		
005	1030	<i>Ship agent's representative and joining crew member to seek entry to the Port Facility, without prior notification</i>	<i>Screening to be undertaken by security staff</i>	<i>Security office</i>
006	1500	<i>Drill End</i>	<i>Dispersal of personnel</i>	
007	1530	<i>Debrief</i>	<i>Controllers and security staff to report findings and lessons learnt</i>	<i>Staff recreation room</i>
* Not required if the drill is to be conducted without prior notice to the participants				



REPORT ON THE CONDUCT OF SECURITY DRILL D116

Type of Drill	<i>Access control - Personnel checks</i>
Drill Conducted	<i>Entry by ship crew / shipping agency / seafarer organization representatives without prior notice</i>
General objective	<i>To practice security staff in the Port Facility's procedures for the issue of personnel security passes</i>
Date and time	<i>15 October XXXX at 1000 hrs.</i>
Duration	<i>2 hrs</i>
Controllers	<i>Mr GHJ, Manager, Safety and Security – Chief controller Mr KMJ, Ship agent's representative Mr PLK, Joining crew member, MV FVG</i>
Participants	<i>Security staff from Team 2 and Team 3 All participants were briefed on the conduct of this drill</i>
Significant events	<i>1. A ship agent's representative and a joining crew member reported to the security office at 1000 hrs seeking access to the Port Facility. Security staff had not been informed of the joining crew member because the ship agency "forgot" to notify the Port Facility. 2. Security staff checked the joining crew member's papers, and escorted them on board MV FVG.</i>



Lessons learnt	<i>In addition to checking his papers, security staff should have verified the joining crew member's status with the ship agency office. If verification could not be done with the office, the crew member should have been turned away.</i>
Follow-up action	<i>Security staff will be reminded of the need to verify the employment status of joining crew members with the ship agent's office if prior notification had not been received about crew members.</i>
Performance indicators	<i>1. Error rate – 1/1 2. The degree of compliance with Port Facility security instructions in handling: a. Ship agent's representative – x% b. Joining crew member – y%</i>
Total cost	<i>\$xxx</i>



Drill	D121
Category	Access Control
Type	Vehicle checks
Subject	Vehicle without authorized entry label
Security Level	1 and 2
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Volume I Part 1 – Guidelines for the Conduct of Maritime Security Drills 4. ISPS Code

INTRODUCTION

1. Access control is a primary security measure employed by all Port Facilities. This comprises perimeter security, and personnel and vehicle/vessel checks upon entry/exit. The integrity of access control measures depends on the quality of the personnel manning and maintaining them and the quality depends on the training, and regular audits of the personnel.

2. This drill requires security staff to respond to two attempts by vehicles without prior authorization or appointments to enter the Port Facility. Upon issuance of the vehicle entry authorization label and entry into the Port Facility, the vehicles fail to display the label as required.

AIM OF THE DRILL

3. **General Objective**

To enhance the awareness among the staff of the security threats to the Port Facility.



4. **Specific Objectives**

- a. To validate the procedures for authorizing vehicles to enter the Port Facility.
- b. To assess security staff in the conduct of checks on vehicles entering the Port Facility.
- c. To assess Port Facility staff in their vigilance toward unauthorized (un-labeled) vehicles within Port Facility premises.
- d. Meet or better the specified compliance benchmark and response times for this drill.

REQUIRED ATTAINMENTS

5. On completion of the drill, Port Facility employees and security staff will be able to:
 - a. Apply the procedures in the Port Facility security instructions to authorized vehicles to enter the Port Facility.
 - b. Apply the procedures in the Port Facility security instructions for the screening of vehicles entering the Port Facility.
 - c. Challenge and apprehend vehicles that do not comply with instructions from Port Facility security staff.

PLANNING FOR THE DRILL

6. **Timetable**

The date for the conduct of this drill should be scheduled in the Port Facility's annual work program. Preparations for this drill should commence 2 weeks prior to the date of conduct. An example of a time-table for the preparation and conduct of this drill is given in Appendix 1

7. **Personnel**

a. Control Team

- (1) The Chief Controller may be the Port Facility Security Officer (PFSO) or a manager in charge of security matters. Where the first line



response by security staff involves the PFSO, a manager should be considered for the appointment of Chief Controller. This will free the PFSO to respond to the situation as it develops during the drill.

(2) The Chief Controller is to arrange for two vehicles and their drivers to take part in this drill as controllers. The drivers should not be familiar to Port Facility security staff.

b. Participants

The participants will be the Port Facility security staff.

c. Safety Officer

The appointment of a safety officer for this drill should be considered.

8. **Resources**

a. Vehicles

Two vehicles should be arranged for this drill. They may be sourced from associated companies, contractors or suppliers, etc. They should not be familiar to security staff at the Port Facility.

b. Cargo

The driver is to seek permission to enter the Port Facility with his vehicle. As such, the cover story must be credible for a vehicle pass to be issued. If Port Facility procedures do not permit vehicle access for persons, the entry of the vehicle must be based on the carriage of bulky or heavy cargo for delivery within the Port Facility. If the vehicle is a:

(1) Motorcar: Any box containing something bulky, such as a computer or machine part will suffice. Proper documentation such as a legitimate delivery order must accompany the item.

(2) Van or light truck: Arrangements may be made with a supplier to deliver goods on the appointed date and participate in the drill as a controller. The appropriate legitimate documentation must accompany the goods. Otherwise, some suitable cargo may be carried such as construction equipment if construction contractors are known to be working in the premises. Alternatively, no cargo may be carried, with the cover story being “to collect cargo”.



c. Communications

(1) **Equipment**

(a) Mobile phone: It is recommended that mobile phones should be the preferred means of communications between the Chief Controller and the controllers, subject to the availability of a cell phone network at the location of the Port Facility.

(b) Walkie-talkie: When using walkie-talkies, note that they have a short range and short battery life. They are usually bulky and may not be easily concealed, and they may be subject to interference if left switched on, leading to discovery at awkward moments.

(2) **Codewords**

Code words are used to provide brevity and clarity in communications during the conduct of a drill. A list of suggested code words is given in Appendix 2. The code words must be promulgated to all controllers and participants of the drill.

(3) **Security**

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

d. Other requirements

- (1) Location for the debrief
- (2) Refreshments e.g. during the debrief
- (3) Person to take notes during the debrief
- (4) Stationery for note-taking

9. **Safety**

a. Security staff activity in connection with this drill would be monitored by the Safety Officer, if one is appointed. The Safety Officer should station himself at a location where he would be:



- (1) Able to observe the majority of events
- (2) Near where potentially hazardous activity may take place
- (3) Accessible should he be required in a contingency

b. Controllers with roles as intruders or drivers, etc. should be issued with a letter of identification provided in Appendix 3 to forestall any undesirable action or behavior on the part of security staff toward them.

10. **Budget**

Funding may be needed for the following:

- a. Employment of vehicles and drivers
- b. Loan of goods for the vehicles
- c. Refreshments for the debrief
- d. Reimbursement of expenses incurred by controllers or staff

11. **Policy for disclosure**

a. The Chief Controller should decide if the drill is to be announced (i.e. participants such as security staff will be notified of the conduct of the drill) or the conduct of the drill will not be announced beforehand (i.e. the participants will not be informed of the conduct of the drill).

b. In deciding the mode, the following may be taken into consideration:

- (1) Security - Where it is assessed that confidentiality is uncertain or difficult to maintain, it is preferable to opt for an announced drill.
- (2) Organizational culture - Unannounced drills may be perceived as a test of the participants.
- (3) Ships at the Port Facility - Where it is anticipated that the drill may impact in any way on ships alongside, their crew, agents, suppliers or contractors, ships alongside should be notified in advance of the drill.

12. **Management endorsement**

The Chief Controller should seek approval from management for the conduct of the drill. Management should be informed of the drill prior to its conduct, even if formal approval is not required.



CONDUCTING THE DRILL

13. **Master Events List**

- a. This drill requires the vehicles to attempt to enter the Port Facility by seeking permission in the normal manner at the Port Facility entrance. They have no prior appointment or arrangement with anyone in the Port Facility for their visit. Security staffs are expected to act in accordance with Port Facility security instructions to process the request. Should permission to enter be granted, the vehicle is to be parked and the authorized vehicle entry label removed from view. It is expected that Port Facility staff may notice the lack of the authorization label and report the vehicle.
- b. The “injects” (simulated events) for the conduct of the drill are provided in the example of a Master Events List at Appendix 4. These would be introduced on schedule or on completion of the preceding event. Adjustments would be made to cater to the prevailing circumstances.

14. **Controller briefing**

- a. The briefing to controllers will be conducted by the Chief Controller and should include the following:
 - (1) Roles to be played by controllers.
 - (2) Positions of controllers at the commencement of the drill.
 - (3) Transport arrangements.
 - (4) Suggested responses to questioning by security staff.
 - (5) Safety measures.

b. Scenario

Two vehicles will attempt to enter the Port Facility in order to test the security measures and determine the accessible prime locations for a vehicle-bomb attack in the future. Each operates independently of the other, and attempts to gain access at different times during the day.

c. Tasks

- (1) The mission for both drivers is to enter the Port Facility by vehicle in order to locate suitable sites for a vehicle-bomb attack. The driver is to approach the Port Facility entrance and request permission to enter. He will comply with all procedures to obtain the passes for personnel and the vehicle. Upon entry, he will drive around and look for sites to park the



vehicle where a vehicle-bomb might do most damage. Examples of such locations are:

- (a) Concentrations of workers e.g. canteen
- (b) Important control stations/machinery
- (c) Pipelines for fuel/liquid cargo
- (d) Power junction boxes or cables

(2) When a suitable site for a future attack has been identified, the vehicle is to be parked there (regardless of whether parking is permitted or not), and the vehicle entry label issued upon entry by the security station will be removed from view. The driver is to lock and leave the vehicle.

(3) A simulated dialogue between the drivers and the Port Facility security staff is provided at Appendix 5. It is not meant as a script, but a guide to the possible interaction.

(4) The Chief Controller will conduct the drill in accordance with the events listed in the Master Events List.

(5) The Chief Controller should position himself at a suitable location to discreetly observe the proceedings.

15. Participant briefing

a. A briefing to participants should be scheduled if it is decided that the drill is to be announced (paragraph 11). The brief to participants should include the following:

- (1) Review of the previous drill, including the lessons learnt
- (2) Objectives and scenario of the drill to be conducted
- (3) The Port Facility's security instructions pertaining to the drill being conducted
- (4) Update on the ISPS Code and/or local regulations
- (5) Developments in maritime security (news, events, etc)

b. It should not include information or details of the controllers' plans for the drill.



16. Briefing Aids

Briefing slides and notes are provided in the accompanying PowerPoint files. With entries for the names, dates, locations, etc. these may be used to conduct the briefing to controllers and to participants.

17. Condition

The Port Facility is to proceed with its daily business as usual. No prior preparations on the part of the participants and/or security arrangements are required for the conduct of this drill.

18. Performance Measurement

- a. Performance indicators should be established for this drill. Some may be dependent on the specific circumstances of the Port Facility. Ideally, performance indicators should be objective, but subjective ones may also be observed by the controllers, e.g. the degree of compliance with Port Facility security instructions.
- b. The following objective performance indicators are the target benchmark response times to be achieved for this drill:

FROM	TO	DURATION (minutes)
Entry of vehicle	Report of vehicle without entry label	x
Vehicle parked	Report of vehicle without entry label	y

CONCLUDING THE DRILL

19. The drill shall be ended under the following circumstances:
- a. When the drivers have attained their mission i.e. vehicles have entered the Port Facility, surveyed the possible sites for a vehicle-bomb attack and exited the Port Facility.
 - or
 - b. When the vehicle is apprehended by Port Facility security staff.
 - or
 - c. Upon the Chief Controller's instruction.



20. Debrief

- a. Allow some time for the controllers and security staff to gather their thoughts on the events, in preparation for the debrief.
- b. Assemble all participating security staff for debrief
- c. The Chief Controller should conduct the debrief
- d. Appoint a note-taker to record the salient points of the discussion and in particular the lessons learnt and any follow-up actions required. Guidance should be provided to the note-taker as to what is to be recorded.

21. Reports

- a. Report the conduct of the drill to the management, either with a written report or verbally, as required by the management. An example of a report is provided at Appendix 6.
- b. If a written report is submitted, arrange for a briefing on the drill to be given at a management meeting to inform top management of the proceedings.

22. Records

An ISPS Drills and Exercises Record Book should be maintained by the Port Facility. The following is an example of an entry in the ISPS Drill and Exercises Record Book:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
<i>15/10/XX</i>	<i>Drill</i>	<i>Access control - Vehicle checks</i>	<i>D121 - Vehicle without authorized entry label</i>	<i>PF/101/08-D121 dated xx/yy/zzzz</i>



D121 TIME-TABLE FOR PLANNING

DAYS TO DRILL	DATE	EVENT	CHECK
D -14	(calendar	Review the Guidelines	
D -14	dates to be	Confirm budget availability for items and/or services to be employed during the drill	
D -12	inserted)	Identify the drill control team	
D -10		Obtain management endorsement if it is required	
D -7		Refine or adjust the Master Events List if necessary	
D -5		Confirm the participants	
D -2		Brief the controllers and issue Letter of Identification, funds, etc.	
D day		Conduct the drill	
D day		Perform the debrief and record the lessons learnt	
D day		Record the conduct of the drill	
D +1		Prepare the written report on the drill	
D +2		Report the conduct of the drill to management	



CODE WORDS

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

CODE WORD	MEANING
Drill Start	The drill is to commence
Drill Suspend	The drill is temporarily suspended
Drill Go	The drill is to resume from where it was suspended
Drill Stop	The drill is to be terminated (prematurely)
Drill End	The drill is completed
For Exercise	The message or statement that follows this preamble relates to the drill only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the drill e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."



Port Facility

12 October XXXX

*The Security Officer
Port Facility*

LETTER OF IDENTIFICATION

This is to certify that *Mr. ABC* is a controller in a *Port Facility* maritime security drill being conducted on *17 October XXXX*. Please contact the undersigned and escort *Mr. ABC* to the Security Office.

signed
Mr. DEF
Port Facility Security Officer

**D121 MASTER EVENTS LIST**

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
<i>Date: 12 Oct XX</i>				
001	1600	<i>Controller briefing</i>		<i>Meeting point away from the Port Facility</i>
<i>Date: 17 Oct XX</i>				
002	0830	<i>Participant briefing*</i>		<i>Staff canteen</i>
003	0930	<i>Controllers final briefing</i>		<i>Meeting point away from the Port Facility convenient to transportation for "intruders"</i>
004	1000	<i>Controllers at respective positions</i>		<i>Chief Controller at Port Facility vehicle entrance</i>
005	1030	<i>All security staff at respective positions</i>		<i>As appropriate</i>
006	1031	<i>Drill commence</i>		
007	1105	<i>Vehicle 1 to proceed to the Port Facility</i>	<i>Port Facility staff should process the vehicle as per Port Facility security instructions</i>	<i>Port Facility vehicle entrance</i>
008	1410	<i>Vehicle 2 to proceed to the Port Facility</i>	<i>Port Facility staff should process the vehicle as per Port Facility security instructions</i>	<i>Port Facility vehicle entrance</i>
009	1500	<i>Drill End</i>	<i>Dispersal of personnel</i>	
010	1530	<i>Debrief</i>	<i>Controllers and security staff to report findings and lessons learnt</i>	<i>Staff recreation room</i>
* Not required if the drill is to be conducted without prior notice to the participants				

**D 121 - POSSIBLE DIALOGUE BETWEEN THE SECURITY STAFF AND THE DRIVERS**

This dialogue serves as a guide to meet the simulation requirements of the drill. It is not meant as a script either for the security staff or the controller, but as a guide to the intent and content of the possible communication.

Vehicle 1	
Security staff to Driver 1	<i>What is the purpose of your visit?</i>
Driver 1 to Security staff	<i>To see the operations manager.</i>
Security staff to Driver 1	<i>What do you wish to discuss with the operations manager?</i>
Driver 1 to Security staff	<i>I have a meeting with him to discuss my company's ship coming in next week.</i>
Vehicle 2	
Security staff to Driver 2	<i>What is the purpose of your visit?</i>
Driver 2 to Security staff	<i>I am delivering construction tools.</i>



REPORT ON THE CONDUCT OF SECURITY DRILL D121

Type of Drill	<i>Access control – Vehicle checks</i>
Drill Conducted	<i>Vehicle without authorized entry label</i>
General objective	<i>To practice port security staff in the screening of vehicles entering Port Facility premises</i>
Date and time	<i>15 October XXXX at 1000 hrs.</i>
Duration	<i>5 hrs</i>
Controllers	<i>Mr GHJ, Manager, Safety and Security – Chief controller Mr YHU, Driver 1 Mr KMJ, Driver 2</i>
Participants	<i>Security staff from Team 2 and Team 3 All participants were briefed on the conduct of this drill</i>
Significant events	<i>1. Two vehicles were tasked to attempt to penetrate into the company premises. 2. Vehicle 1 was given a vehicle pass and allowed into the Port Facility. Vehicle 1 proceeded to drive around the Port Facility looking for targets for a possible vehicle-bomb attack. Vehicle 1 parked next to the Canteen in an authorized parking lot for 40 minute and then left the Port Facility.</i>



<p>Significant events</p>	<p><i>3. Vehicle 2 was given a vehicle pass to deliver construction tools because it was assumed that he was employed by Contractor JHG currently working on the slipway. Vehicle 2 proceeded to drive around the Port Facility looking for targets for a possible vehicle-bomb attack, then parked in a No Parking spot next to the main AVGAS delivery pipeline. Security staff Mr TYU who was on patrol noticed that the vehicle did not have an entry authorization label and reported the vehicle to the security office.</i></p> <p>Include photographs if relevant</p>
<p>Lessons learnt</p>	<p><i>1. Port Facility employees and others working within the premises must be constantly reminded to be alert to security threats.</i></p> <p><i>2. Surveillance camera 2D was found to be unserviceable for the last 4 days, but was not reported.</i></p> <p><i>3. Four security staff failures are evident:</i></p> <ul style="list-style-type: none"><i>a. Port Facility security instructions require security staff to verify visitors' appointments with the person being visited.</i><i>b. Security patrol Team 4 noticed Vehicle 1 prowling around but did not take any action to question the driver's intentions.</i><i>c. Security staffs manning the surveillance camera control room were not alert to the presence of Vehicle 1 at many different areas of the Port Facility.</i><i>d. Security staff did not report an unserviceable surveillance camera.</i> <p>Include photographs if relevant</p>
<p>Follow-up action</p>	<p><i>1. The security staff concerned will be given a warning, as they were found wanting even though they were aware of the drill in progress.</i></p> <p><i>2. Surveillance camera 2D is to be replaced.</i></p>



Follow-up action	<p><i>3. All employees will be reminded to be alert to unfamiliar persons or vehicles wandering around the premises and report these to security staff.</i></p> <p><i>4. These reminders will be included in Security Circulars to be initiated for Notice Boards and in weekly emails.</i></p>
Performance indicators	<p><i>1. Detection rate – 1/2</i></p> <p><i>2. The degree of compliance with Port Facility security instructions in handling:</i></p> <ul style="list-style-type: none"><i>a. Driver 1 – x%</i><i>b. Driver 2 – y%</i> <p><i>3. From Vehicle 2 entry to Report on transgression – x minutes</i></p> <p><i>4. From Vehicle 2 being parked to Report of transgression – y minutes</i></p>
Total cost	<p><i>\$xxx</i></p>



Drill	D122
Category	Access Control
Type	Vehicle checks
Subject	Vehicle with suspicious person / item
Security Level	1 and 2
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Vol I Part 1 – Guidelines for the Conduct of Maritime Security Drills 4. ISPS Code

INTRODUCTION

1. Access control is a primary security measure employed by all Port Facilities. This comprises perimeter security, and personnel and vehicle/vessel checks upon entry/exit. The integrity of access control measures depends on the quality of the personnel manning and maintaining them and the quality depends on the training, and regular audits of the personnel.

2. A vehicle bearing a likely stowaway and another with a radio control transmitter in its boot will seek entry into the Port Facility without prior authorization or appointment. Security staffs are expected to observe and notice suspicious behavior, and recognize suspicious items while screening vehicles seeking permission to enter the Port Facility.

AIM OF THE DRILL

3. **General Objective**

To practice port security staff in the screening of vehicles entering Port Facility premises.



4. **Specific Objectives**

- a. To develop the vigilance of security staff in the observation of vehicles entering the Port Facility
- b. To practice security staff in the conduct of checks on vehicles entering the Port Facility
- c. To enhance the security awareness of threats to the Port Facility
- d. Meet or better the specified compliance benchmark for this drill.

REQUIRED ATTAINMENTS

5. On completion of the drill, Port Facility employees and security staff will be able to:
 - a. Apply the procedures in the Port Facility security instructions for the screening of vehicles entering the Port Facility.
 - b. Detect suspicious behavior of persons in vehicles entering the Port Facility.
 - c. Detect suspicious items or goods in vehicles entering the Port Facility.
 - d. Act on their suspicions to check such persons and vehicles thoroughly.

PLANNING FOR THE DRILL

6. **Timetable**

The date for the conduct of this drill should be scheduled in the Port Facility's annual work program. Preparations for this drill should commence 2 weeks prior to the date of conduct. An example of a time-table for the preparation and conduct of this drill is given in Appendix 1

7. **Personnel**

- a. Control Team
 - (1) The Chief Controller may be the Port Facility Security Officer (PFSO) or a manager in charge of security matters. Where the first line response by security staff involves the PFSO, a manager should be



considered for the appointment of Chief Controller. This will free the PFSSO to respond to the situation as it develops during the drill.

(2) The Chief Controller is to arrange for the following:

(a) Two vehicles and their drivers to take part in this drill as controllers. The drivers should not be familiar to Port Facility security staff.

(b) One passenger for Vehicle 1, who should be dressed and behave like a potential stowaway intending to sneak on board a ship alongside.

b. Participants

The participants will be the Port Facility security staff.

c. Safety Officer

The appointment of a safety officer for this drill should be considered.

8. **Resources**

a. Vehicles

Two vehicles should be arranged for this drill. They may be sourced from associated companies, contractors or suppliers, etc. They should not be familiar to security staff at the Port Facility.

b. Props

(1) A light duffel-bag or haversack containing clothing and personal items for the passenger in Vehicle 1.

(2) A radio control transmitter to be placed casually in the boot of Vehicle 2.

(3) Identification document: Many national authorities issue a temporary identification document when an identification card or driver's license is reported lost, prior to a permanent replacement being issued. Such temporary identification using a fictitious name could be duplicated for the purposes of this drill. The passenger in Vehicle 1 will use a fake temporary identity document.



c. Communications

(1) **Equipment**

(a) Mobile phone: It is recommended that mobile phones should be the preferred means of communications between the Chief Controller and the controllers, subject to the availability of a cell phone network at the location of the Port Facility.

(b) Walkie-talkie: When using walkie-talkies, note that they have a short range and short battery life. They are usually bulky and may not be easily concealed, and they may be subject to interference if left switched on, leading to discovery at awkward moments.

(2) **Codewords**

Code words are used to provide brevity and clarity in communications during the conduct of a drill. A list of suggested code words is given in Appendix 2. The code words must be promulgated to all controllers and participants of the drill.

(3) **Security**

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

d. Other requirements

- (1) Location for the debrief
- (2) Refreshments e.g. during the debrief
- (3) Person to take notes during the debrief
- (4) Stationery for note-taking

9. **Safety**

a. Security staff activity in connection with this drill would be monitored by the Safety Officer, if one is appointed. The Safety Officer should station himself at a location where he would be:



- (1) Able to observe the majority of events
- (2) Near where potentially hazardous activity may take place
- (3) Accessible should he be required in a contingency

b. Controllers with roles as intruders or drivers, etc. should be issued with a letter of identification provided in Appendix 3 to forestall any undesirable action or behavior on the part of security staff toward them.

10. **Budget**

Funding may be needed for the following:

- a. Employment of vehicles and drivers.
- b. Participation of the passenger in Vehicle 1.
- c. Preparation of the fake identification document.
- d. Loan of the radio control transmitter.
- e. Refreshments for the debrief.
- f. Reimbursement of expenses incurred by controllers or staff.

11. **Policy for disclosure**

a. The Chief Controller should decide if the drill is to be announced (i.e. participants such as security staff will be notified of the conduct of the drill) or the conduct of the drill will not be announced beforehand (i.e. the participants will not be informed of the conduct of the drill).

b. In deciding the mode, the following may be taken into consideration:

- (1) Security - Where it is assessed that confidentiality is uncertain or difficult to maintain, it is preferable to opt for an announced drill.
- (2) Organizational culture - Unannounced drills may be perceived as a test of the participants.
- (3) Ships at the Port Facility - Where it is anticipated that the drill may impact in any way on ships alongside, their crew, agents, suppliers or contractors, ships alongside should be notified in advance of the drill.

12. **Management endorsement**

The Chief Controller should seek approval from management for the conduct of the drill. Management should be informed of the drill prior to its conduct, even if formal approval is not required.



CONDUCTING THE DRILL

13. **Master Events List**

- a. This drill requires the vehicles to attempt to enter the Port Facility by seeking permission in the normal manner at the Port Facility entrance. They have no prior appointment or arrangement with anyone in the Port Facility for their visit. Security staffs are expected to act in accordance with Port Facility security instructions to process the request for entry.
- b. The “injects” (simulated events) for the conduct of the drill are provided in the example of a Master Events List at Appendix 4. These would be introduced on schedule or on completion of the preceding event. Adjustments would be made to cater to the prevailing circumstances.

14. **Controller briefing**

- a. The briefing to controllers will be conducted by the Chief Controller and should include the following:
 - (1) Roles to be played by controllers.
 - (2) Positions of controllers at the commencement of the drill.
 - (3) Transport arrangements.
 - (4) Suggested responses to questioning by security staff.
 - (5) Safety measures.

b. Scenario

Two vehicles will attempt to enter the Port Facility with unlawful intent. Each is independent of the other. One vehicle is transporting a potential stowaway to a ship alongside. The second vehicle is rigged as a “vehicle bomb” and is being used to sabotage the Port Facility. The drivers will approach the Port Facility entrance and request permission to enter. They will comply with all procedures to obtain the passes for personnel and vehicles.

c. Tasks

- (1) Vehicle 1 – to attempt entry with a passenger who is a potential stowaway. The passenger may be male or female, and should be dressed as a potential stowaway, wearing rough work clothes. The passenger should clutch the light duffel-bag or haversack containing clothing and personal items. The passenger may act a little bewildered but able to



tender a false temporary identity document in exchange for a security pass. (Many national authorities issue a temporary identification document when an identification card or driver's license is reported lost, prior to a permanent replacement being issued. Such temporary identification using a fictitious name could be duplicated for the purposes of this drill).

(2) Vehicle 2 - Having successfully surveyed a suitable location for a vehicle bomb in a previous visit to the Port Facility, Vehicle 2 will attempt entry fully equipped to cause massive destruction at the Port Facility. However, the driver will "carelessly" leave the radio transmitter in full view in the boot of the vehicle. A radio control transmitter may be used to trigger explosive devices remotely, and should therefore be viewed by security staff with some suspicion. Should the vehicle be permitted entry, the driver will park and leave the vehicle at the chosen location, and report to the Chief Controller.

(3) A simulated dialogue between the drivers and the Port Facility security staff is provided at Appendix 5. It is not meant as a script, but a guide to the possible interaction.

(4) The Chief Controller will conduct the drill in accordance with the events listed in the Master Events List.

(5) The Chief Controller should position himself at a suitable location to discreetly observe the proceedings.

15. Participant briefing

a. A briefing to participants should be scheduled if it is decided that the drill is to be announced (paragraph 11). The brief to participants should include the following:

- (1) Review of the previous drill, including the lessons learnt
- (2) Objectives and scenario of the drill to be conducted
- (3) The Port Facility's security instructions pertaining to the drill being conducted
- (4) Update on the ISPS Code and/or local regulations
- (5) Developments in maritime security (news, events, etc)



- b. It should not include information or details of the controllers' plans for the drill.

16. Briefing Aids

Briefing slides and notes are provided in the accompanying PowerPoint files. With entries for the names, dates, locations, etc. these may be used to conduct the briefing to controllers and to participants.

17. Condition

The Port Facility is to proceed with its daily business as usual. No prior preparations on the part of the participants and/or security arrangements are required for the conduct of this drill.

18. Performance Measurement

Performance indicators should be established for this drill. Some may be dependent on the specific circumstances of the Port Facility. Ideally, performance indicators should be objective, but subjective ones may also be observed by the controllers, e.g. the degree of compliance with Port Facility security instructions.

CONCLUDING THE DRILL

19. The drill shall be ended under the following circumstances:

- a. When the vehicles have successfully entered the Port Facility premises.
or
- b. When the vehicles are forbidden to enter by security staff.
or
- c. Upon the Chief Controller's instruction.

20. Debrief

- a. Allow some time for the controllers and security staff to gather their thoughts on the events, in preparation for the debrief.
- b. Assemble all participating security staff for debrief
- c. The Chief Controller should conduct the debrief



d. Appoint a note-taker to record the salient points of the discussion and in particular the lessons learnt and any follow-up actions required. Guidance should be provided to the note-taker as to what is to be recorded.

21. Reports

a. Report the conduct of the drill to the management, either with a written report or verbally, as required by the management. An example of a report is provided at Appendix 6.

b. If a written report is submitted, arrange for a briefing on the drill to be given at a management meeting to inform top management of the proceedings.

22. Records

An ISPS Drills and Exercises Record Book should be maintained by the Port Facility. The following is an example of an entry in the ISPS Drill and Exercises Record Book:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
<i>15/10/XX</i>	<i>Drill</i>	<i>Access control - Vehicle checks</i>	<i>D122 - Vehicle with suspicious person / item</i>	<i>PF/101/08-D122 dated xx/yy/zzzz</i>



D122 TIME-TABLE FOR PLANNING

DAYS TO DRILL	DATE	EVENT	CHECK
D -14	(calendar	Review the Guidelines	
D -14	dates to be	Confirm budget availability for items and/or services to be employed during the drill	
D -12	inserted)	Identify the drill control team	
D -10		Obtain management endorsement if it is required	
D -7		Refine or adjust the Master Events List if necessary	
D -5		Confirm the participants	
D -2		Brief the controllers and issue Letter of Identification, funds, etc.	
D day		Conduct the drill	
D day		Perform the debrief and record the lessons learnt	
D day		Record the conduct of the drill	
D +1		Prepare the written report on the drill	
D +2		Report the conduct of the drill to management	



CODE WORDS

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

CODE WORD	MEANING
Drill Start	The drill is to commence
Drill Suspend	The drill is temporarily suspended
Drill Go	The drill is to resume from where it was suspended
Drill Stop	The drill is to be terminated (prematurely)
Drill End	The drill is completed
For Exercise	The message or statement that follows this preamble relates to the drill only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the drill e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."



Port Facility

12 October XXXX

*The Security Officer
Port Facility*

LETTER OF IDENTIFICATION

This is to certify that *Mr. ABC* is a controller in a *Port Facility* maritime security drill being conducted on *17 October XXXX*. Please contact the undersigned and escort *Mr. ABC* to the Security Office.

signed
Mr. DEF
Port Facility Security Officer



D122 MASTER EVENTS LIST

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
<i>Date: 12 Oct XX</i>				
001	1600	<i>Controller briefing</i>		<i>Meeting point away from the Port Facility</i>
<i>Date: 17 Oct XX</i>				
002	0830	<i>Participant briefing*</i>		<i>Staff canteen</i>
003	0930	<i>Controllers final briefing</i>		<i>Meeting point away from the Port Facility convenient to transportation for "intruders"</i>
004	1000	<i>Controllers at respective positions</i>		<i>Chief Controller at Port Facility vehicle entrance</i>
005	1030	<i>All security staff at respective positions</i>		<i>As appropriate</i>
006	1031	<i>Drill commence</i>		
007	1105	<i>Vehicle 1 to proceed to the Port Facility</i>	<i>Port Facility security staff should be able to recognize the behavior of the passenger as suspicious and perform the verification checks leading to apprehending the vehicle</i>	<i>Port Facility vehicle entrance</i>



<i>008</i>	<i>1410</i>	<i>Vehicle 2 to proceed to the Port Facility</i>	<i>Port Facility security staff should perform vehicle screening, find the radio control transmitter, recognize it as a suspicious item that may be used to trigger a device, and apprehend the vehicle</i>	<i>Port Facility vehicle entrance</i>
<i>009</i>	<i>1500</i>	<i>Drill End</i>	<i>Dispersal of personnel</i>	
<i>010</i>	<i>1530</i>	<i>Debrief</i>	<i>Controllers and security staff to report findings and lessons learnt</i>	<i>Staff recreation room</i>
<i>* Not required if the drill is to be conducted without prior notice to the participants</i>				

**D 122 - POSSIBLE DIALOGUE BETWEEN THE SECURITY STAFF AND THE DRIVERS**

This dialogue serves as a guide to meet the simulation requirements of the drill. It is not meant as a script either for the security staff or the controller, but as a guide to the intent and content of the possible communication.

Vehicle 1	
Security staff to Driver 1	<i>What is the purpose of your visit?</i>
Driver 1 to Security staff	<i>To send Ms/Mr UJK to the ship.</i>
Security staff to Driver 1	<i>What are you going to do on board?</i>
Driver 1 to Security staff	<i>He/she is meeting the Purser for a job as a cook.</i>
Security staff to Driver 1	<i>Do you have an appointment with the Purser?</i>
Driver 1 to Security staff	<i>Yes (no prior appointment would have been made)</i>
Vehicle 2	
Security staff to Driver 2	<i>What is the purpose of your visit?</i>
Driver 2 to Security staff	<i>I am here to see Mr. GLH (use a common local name with a higher probability of naming someone in the Port Facility by chance)</i>



REPORT ON THE CONDUCT OF SECURITY DRILL D122

Type of Drill	<i>Access control – Vehicle checks</i>
Drill Conducted	<i>Vehicle with suspicious person / item</i>
General objective	<i>To practice port security staff in the screening of vehicles entering Port Facility premises</i>
Date and time	<i>15 October XXXX at 1000 hrs.</i>
Duration	<i>5 hrs</i>
Controllers	<i>Mr GHJ, Manager, Safety and Security – Chief controller Mr YHU, Driver, Vehicle 1 Ms ATY, Passenger, Vehicle 1 Mr KMJ, Driver Vehicle 2</i>
Participants	<i>Security staff from Team 2 and Team 3 All participants were briefed on the conduct of this drill</i>
Significant events	<i>1. Two vehicles were tasked to attempt to enter the company premises without prior authorization or appointment. 2. Vehicle 1 carried a female passenger who claimed to be a job applicant on the ship MV THG alongside. Security staff examined her duffel bag and discovered clothing inside. The driver said that the job was not expected to start immediately. Security staff considered the situation suspicious and rejected the request for entry after noting the personal particulars.</i>



Significant events	<p>3. <i>Vehicle 2 was allowed to enter the premises after the driver obtained the required personnel and vehicle passes. Security staff noted the radio control transmitter but it did not trigger the expected suspicions.</i></p> <p>Include photographs if relevant</p>
Lessons learnt	<p>1. <i>Security staff acted correctly on their suspicions about the passenger, based on her dress and behavior. Security staff should have also confirmed the bogus employee story by contacting the ship.</i></p> <p>2. <i>Many items may be considered security threats but some represent a more serious risk than others. Security staff need to be familiarized with those items (such as radio transmitters) that would generally be considered security threats.</i></p> <p>Include photographs if relevant</p>
Follow-up action	<p>1. <i>A briefing will be prepared for security staff to give them an idea of what are the items that may constitute a security threat. Funds will be sought to have the briefing prepared by a Recognized Security Organization.</i></p> <p>2. <i>All employees will be reminded to be alert to abnormal dress, behavior or items that may constitute a maritime security threat.</i></p> <p>3. <i>These reminders will be included in Security Circulars to be initiated for Notice Boards and in weekly emails.</i></p>
Performance indicators	<p>1. <i>Detection rate – 1/2</i></p> <p>2. <i>The degree of compliance with Port Facility security instructions in handling:</i></p> <ul style="list-style-type: none">a. <i>Vehicle 1 driver and passenger – x%</i>b. <i>Vehicle 2 – y%</i>
Total cost	<p>\$xxx</p>



Drill	D123
Category	Access Control
Type	Vehicle checks
Subject	Vehicle parked in, or in close proximity to a key area or Restricted Area
Security Level	1 and 2
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Vol I Part 1 – Guidelines for the Conduct of Maritime Security Drills 4. ISPS Code

INTRODUCTION

1. Access control is a primary security measure employed by all Port Facilities. This comprises perimeter security, and personnel and vehicle/vessel checks upon entry/exit. It applies equally to the main Port Facility precinct and any special high security zones that may be established within the Port Facility. The integrity of access control measures depends on the quality of the personnel manning and maintaining them and the quality depends on the training, and regular audits of the personnel.

2. Vehicles parked adjacent to or within key areas or Restricted Areas pose a real and present danger to the security of the installations within those areas. In this drill, vehicles given permission to enter the Port Facility are parked thus, where they present an immediate threat. Port Facility staff should notice and respond to such suspicious and threatening behavior.

AIM OF THE DRILL

3. **General Objective**

To develop the vigilance of security staff in the observation of vehicles within the Port Facility



4. Specific Objectives

- a. To test the vigilance of security staff to violations of Port Facility security instructions by vehicles within the Port Facility
- b. To practice security staff in the conduct of checks on vehicles within the Port Facility
- c. To enhance the security awareness of threats to the Port Facility
- c. Meet or better the specified compliance benchmark and response times for this drill.

REQUIRED ATTAINMENTS

5. On completion of the drill, Port Facility employees and security staff will be able to:
 - a. Recognize security breaches by vehicles within the Port Facility.
 - b. Detect suspicious behavior of vehicles within the Port Facility.
 - d. Act on their suspicions to check such persons and vehicles thoroughly

PLANNING FOR THE DRILL

6. Timetable

The date for the conduct of this drill should be scheduled in the Port Facility's annual work program. Preparations for this drill should commence 2 weeks prior to the date of conduct. An example of a time-table for the preparation and conduct of this drill is given in Appendix 1

7. Personnel

a. Control Team

- (1) The Chief Controller may be the Port Facility Security Officer (PFSO) or a manager in charge of security matters. Where the first line response by security staff involves the PFSO, a manager should be considered for the appointment of Chief Controller. This will free the PFSO to respond to the situation as it develops during the drill.



(2) The Chief Controller is to arrange for two vehicles and their drivers to take part in this drill as controllers. The drivers should not be familiar to Port Facility security staff. Appointments may be made for them to enter the Port Facility by adopting the normal procedures for visitors.

b. Participants

The participants will be the Port Facility security staff.

c. Safety Officer

The appointment of a safety officer for this drill should be considered.

8. **Resources**

a. Vehicles

Two vehicles should be arranged for this drill. They may be sourced from associated companies, contractors or suppliers, etc. They should not be familiar to security staff at the Port Facility. The vehicles may be pre-authorized to enter the Port Facility.

b. Communications

(1) **Equipment**

(a) Mobile phone: It is recommended that mobile phones should be the preferred means of communications between the Chief Controller and the controllers, subject to the availability of a cell phone network at the location of the Port Facility.

(b) Walkie-talkie: When using walkie-talkies, note that they have a short range and short battery life. They are usually bulky and may not be easily concealed, and they may be subject to interference if left switched on, leading to discovery at awkward moments.

(2) **Codewords**

Code words are used to provide brevity and clarity in communications during the conduct of a drill. A list of suggested code words is given in Appendix 2. The code words must be promulgated to all controllers and participants of the drill.



(3) **Security**

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

d. Other requirements

- (1) Location for the debrief
- (2) Refreshments e.g. during the debrief
- (3) Person to take notes during the debrief
- (4) Stationery for note-taking

9. **Safety**

a. Security staff activity in connection with this drill would be monitored by the Safety Officer, if one is appointed. The Safety Officer should station himself at a location where he would be:

- (1) Able to observe the majority of events
- (2) Near where potentially hazardous activity may take place
- (3) Accessible should he be required in a contingency

b. Controllers with roles as intruders or drivers, etc. should be issued with a letter of identification provided in Appendix 3 to forestall any undesirable action or behavior on the part of security staff toward them.

10. **Budget**

Funding may be needed for the following:

- a. Employment of vehicles and drivers.
- b. Refreshments for the debrief.
- c. Reimbursement of expenses incurred by controllers or staff.

11. **Policy for disclosure**

a. The Chief Controller should decide if the drill is to be announced (i.e. participants such as security staff will be notified of the conduct of the drill) or the conduct of the drill will not be announced beforehand (i.e. the participants will not be informed of the conduct of the drill).



- b. In deciding the mode, the following may be taken into consideration:
- (1) Security - Where it is assessed that confidentiality is uncertain or difficult to maintain, it is preferable to opt for an announced drill.
 - (2) Organizational culture - Unannounced drills may be perceived as a test of the participants.
 - (3) Ships at the Port Facility - Where it is anticipated that the drill may impact in any way on ships alongside, their crew, agents, suppliers or contractors, ships alongside should be notified in advance of the drill.

12. Management endorsement

The Chief Controller should seek approval from management for the conduct of the drill. Management should be informed of the drill prior to its conduct, even if formal approval is not required.

CONDUCTING THE DRILL

13. Master Events List

- a. This drill requires the vehicles to enter the Port Facility by seeking permission in the normal manner at the Port Facility entrance. Upon entry, they will proceed to park at an unauthorized or “No Parking” spot within or near a Restricted Area as close as possible to a key installation, as directed by the Chief Controller. Port Facility staff going about their duties should be alert to, and take note of the infringements by these vehicles and report them.
- b. The “injects” (simulated events) for the conduct of the drill are provided in the example of a Master Events List at Appendix 4. These would be introduced on schedule or on completion of the preceding event. Adjustments would be made to cater to the prevailing circumstances.

14. Controller briefing

- a. The briefing to controllers will be conducted by the Chief Controller and should include the following:
- (1) Roles to be played by controllers.
 - (2) Positions of controllers at the commencement of the drill.
 - (3) Transport arrangements.
 - (4) Suggested responses to questioning by security staff.
 - (5) Safety measures.



b. Scenario

Terrorists are determined to destroy key installations in the Port Facility. They have prepared two vehicles as vehicle bombs, and with the help of a sympathizer working in the Port Facility, secured permission to enter the premises with their vehicles. They will leave their vehicles in places that will cause the greatest damage when the bombs go off by a timing device in each vehicle. To maximize their chances of success they will make each vehicle operate independently of the other, and enter the Port Facility at different times.

c. Tasks

(1) The mission of both vehicles is to park next to a key installation and/or within a Restricted Area in order to simulate a vehicle bomb attack.

(2) Vehicle 1 is to park outside a Restricted Area (accessibility consideration), next to a key installation that is within the Restricted Area. The vehicle should be parked next to a “No Parking” signboard if one is located there.

(3) Vehicle 2 is to park within a Restricted Area at a spot where parking is not permitted. Access to the Restricted Area should be planned by the Chief Controller during the planning for the drill. The security arrangements for Restricted Areas vary and cannot be anticipated in these guidelines. Thus, consideration should be given during the planning for the drill, to the realism of an unauthorized vehicle entering the Restricted Area.

(4) The Chief Controller will conduct the drill in accordance with the events listed in the Master Events List.

(5) The Chief Controller should position himself at a suitable location to discreetly observe the proceedings.

15. **Participant briefing**

a. A briefing to participants should be scheduled if it is decided that the drill is to be announced (paragraph 11). The brief to participants should include the following:

- (1) Review of the previous drill, including the lessons learnt



- (2) Objectives and scenario of the drill to be conducted
- (3) The Port Facility's security instructions pertaining to the drill being conducted
- (4) Update on the ISPS Code and/or local regulations
- (5) Developments in maritime security (news, events, etc)

b. It should not include information or details of the controllers' plans for the drill.

16. Briefing Aids

Briefing slides and notes are provided in the accompanying PowerPoint files. With entries for the names, dates, locations, etc. these may be used to conduct the briefing to controllers and to participants.

17. Condition

The Port Facility is to proceed with its daily business as usual. No prior preparations on the part of the participants and/or security arrangements are required for the conduct of this drill.

18. Performance Measurement

a. Performance indicators should be established for this drill. Some may be dependent on the specific circumstances of the Port Facility. Ideally, performance indicators should be objective, but subjective ones may also be observed by the controllers, e.g. the degree of compliance with Port Facility security instructions.

b. The following objective performance indicators are the target benchmark response times to be achieved for this drill:

FROM	TO	DURATION (minutes)
<i>Detection of Vehicle 1</i>	<i>Deployment of response team</i>	x
<i>Detection of Vehicle 2</i>	<i>Deployment of response team</i>	y
<i>Deployment of response team</i>	<i>Notification of Authority</i>	z



CONCLUDING THE DRILL

19. The drill shall be ended under the following circumstances:
- a. When the vehicles have been reported by Port Facility staff and actions taken in accordance with the Port Facility security instructions.
 - or
 - b. If the vehicles are not observed during the mission, then at a pre-determined time after being parked.
 - or
 - c. Upon the Chief Controller's instruction.
20. **Debrief**
- a. Allow some time for the controllers and security staff to gather their thoughts on the events, in preparation for the debrief.
 - b. Assemble all participating security staff for debrief
 - c. The Chief Controller should conduct the debrief
 - d. Appoint a note-taker to record the salient points of the discussion and in particular the lessons learnt and any follow-up actions required. Guidance should be provided to the note-taker as to what is to be recorded.
21. **Reports**
- a. Report the conduct of the drill to the management, either with a written report or verbally, as required by the management. An example of a report is provided at Appendix 5.
 - b. If a written report is submitted, arrange for a briefing on the drill to be given at a management meeting to inform top management of the proceedings.



22. Records

An ISPS Drills and Exercises Record Book should be maintained by the Port Facility. The following is an example of an entry in the ISPS Drill and Exercises Record Book:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
<i>15/10/XX</i>	<i>Drill</i>	<i>Access control - Vehicle checks</i>	<i>D123 - Vehicle parked in, or in close proximity to a key area or Restricted Area</i>	<i>PF/101/08-D123 dated xx/yy/zzzz</i>



D123 TIME-TABLE FOR PLANNING

DAYS TO DRILL	DATE	EVENT	CHECK
D -14	(calendar	Review the Guidelines	
D -14	dates to be	Confirm budget availability for items and/or services to be employed during the drill	
D -12	inserted)	Identify the drill control team	
D -10		Obtain management endorsement if it is required	
D -7		Refine or adjust the Master Events List if necessary	
D -5		Confirm the participants	
D -2		Brief the controllers and issue Letter of Identification, funds, etc.	
D day		Conduct the drill	
D day		Perform the debrief and record the lessons learnt	
D day		Record the conduct of the drill	
D +1		Prepare the written report on the drill	
D +2		Report the conduct of the drill to management	



CODE WORDS

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

CODE WORD	MEANING
Drill Start	The drill is to commence
Drill Suspend	The drill is temporarily suspended
Drill Go	The drill is to resume from where it was suspended
Drill Stop	The drill is to be terminated (prematurely)
Drill End	The drill is completed
For Exercise	The message or statement that follows this preamble relates to the drill only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the drill e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."



Port Facility

12 October XXXX

*The Security Officer
Port Facility*

LETTER OF IDENTIFICATION

This is to certify that *Mr. ABC* is a controller in a *Port Facility* maritime security drill being conducted on *17 October XXXX*. Please contact the undersigned and escort *Mr. ABC* to the Security Office.

signed
Mr. DEF
Port Facility Security Officer

**D123 MASTER EVENTS LIST**

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
<i>Date: 12 Oct XX</i>				
001	1600	<i>Controller briefing</i>		<i>Meeting room in the Port Facility</i>
<i>Date: 17 Oct XX</i>				
002	0900	<i>Participant briefing*</i>		<i>Staff canteen</i>
003	0930	<i>Controllers final briefing</i>		<i>Meeting room in the Port Facility</i>
004	1000	<i>Controllers at respective positions</i>		<i>Chief Controller at Port Facility vehicle entrance</i>
005	1030	<i>All security staff at respective positions</i>		<i>As appropriate</i>
006	1031	<i>Drill commence</i>		
007	1105	<i>Vehicle 1 to proceed to park at the key installation</i>	<i>Port Facility staff should notice the inappropriately parked vehicle and take action</i>	<i>Key installation</i>
008	1410	<i>Vehicle 2 to proceed to park in the Restricted Area</i>	<i>Port Facility staff should notice the inappropriately parked vehicle and take action</i>	<i>Restricted Area</i>
009	1500	<i>Drill End</i>	<i>Dispersal of personnel</i>	
010	1530	<i>Debrief</i>	<i>Controllers and security staff to report findings and lessons learnt</i>	<i>Staff recreation room</i>
* Not required if the drill is to be conducted without prior notice to the participants				



REPORT ON THE CONDUCT OF SECURITY DRILL D123

Type of Drill	<i>Access control - Vehicle checks</i>
Drill Conducted	<i>Vehicle parked in, or in close proximity to a key area or Restricted Area</i>
General objective	<i>To develop the vigilance of security staff in the observation of vehicles within the Port Facility</i>
Date and time	<i>15 October XXXX at 1100 hrs.</i>
Duration	<i>5 hrs</i>
Controllers	<i>Mr GHJ, Manager, Safety and Security – Chief controller Mr YHU, Driver, Vehicle 1 Mr KMJ, Driver, Vehicle 2</i>
Participants	<i>Security staff from Team 2 and Team 3 Participants were not briefed on the conduct of this drill</i>
Significant events	<i>1. Two vehicles were tasked to park in sensitive locations. 2. Vehicle 1 parked right under a “No Parking” signboard within 5m of the AVGAS transfer pump, a designated key installation. Security staff on patrol noticed the vehicle within 6 minutes. When the security team arrived, they decided to arrange for the vehicle to be removed. This event was terminated by the Chief Controller.</i>



<p>Significant events</p>	<p><i>3. Vehicle 2 was granted permission to access the Restricted Area to deliver some construction equipment. Vehicle 2 was parked next to the power grid switching system for 65 minutes with no one present nearby before it was noticed by security staff. In that time, 2 other security patrols had passed the vehicle without noting the situation. A security team was deployed to investigate, and action was taken to inform the Police (simulated). The drill was then terminated by the Chief Controller.</i></p> <p>Include photographs if relevant</p>
<p>Lessons learnt</p>	<p><i>1. Security staff manning the surveillance camera control room did not notice Vehicle 1 when it was being parked outside the AVGAS transfer pump room. However, the time interval between the vehicle being parked and its discovery by Patrol Team 4 is considered too short for any failure to be attributed to the security camera control room staff.</i></p> <p><i>2. The response by security staff to remove Vehicle 1 is incorrect. The vehicle should have been inspected carefully and if considered suspicious, the appropriate authorities should have been contacted.</i></p> <p><i>3. Vehicle 2 did not show up on any of the surveillance camera records from the Restricted Area. The review of the recording shows that the surveillance cameras at the Restricted Area do not cover the spot where Vehicle 2 was parked.</i></p> <p>Include photographs if relevant</p>
<p>Follow-up action</p>	<p><i>1. Arrangements will be made with the company that installed the security cameras to review their installation as the coverage is not comprehensive.</i></p> <p><i>2. All employees will be reminded to be alert to unfamiliar persons or vehicles wandering around the premises and report these to security staff.</i></p>



Performance indicators	<ol style="list-style-type: none">1. <i>Detection rate – 2/2</i>2. <i>The degree of compliance with Port Facility security instructions in handling:</i><ol style="list-style-type: none">a. <i>Vehicle 1 – x%</i>b. <i>Vehicle 2 – y%</i>3. <i>From Detection of Vehicle 1 to Deployment of response team – x minutes</i>4. <i>From Detection of Vehicle 2 to Deployment of response team – y minutes</i>5. <i>From Deployment of response team to Notification of Authority – z minutes</i>
Total cost	\$xxx



Drill	D124
Category	Access Control
Type	Vehicle checks
Subject	Vehicle forcing entry
Security Level	2
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Vol I Part 1 – Guidelines for the Conduct of Maritime Security Drills 4. ISPS Code

INTRODUCTION

1. Access control is a primary security measure employed by all Port Facilities. This comprises perimeter security, and personnel and vehicle/vessel checks upon entry/exit. The integrity of access control measures depends as much on the quality of the physical barriers as the quality of the personnel manning and maintaining them. This is especially true when the threat includes vehicles that may charge the entrance in an attempt to break in to the Port Facility.

2. In this drill, a vehicle rigged as a “vehicle bomb” driven by a “suicide bomber” attempts to overcome the physical barriers at the entrance and forcibly break in to the Port Facility. Security staff will be expected to respond to the incursion in accordance with the Port Facility Security Plan.

AIM OF THE DRILL

3. **General Objective**

To practice security staff in vehicle access control measures.



4. **Specific Objectives**

- a. To practice security staff in the techniques to approach vehicles entering the Port Facility
- b. To validate the measures for the prevention of forced entry by vehicles into Port Facility premises
- c. To practice the response to a forced entry by a vehicle into the Port Facility
- d. Meet or better the specified compliance benchmark for this drill.

REQUIRED ATTAINMENTS

5. On completion of the drill, Port Facility employees and security staff will be able to:
 - a. Prepare the Port Facility vehicle entrance against a forced entry by vehicles.
 - b. Recognize suspicious behavior of vehicles traveling towards the Port Facility entrance.
 - c. Adopt the correct approach to screen vehicles entering the Port Facility.
 - d. React correctly to a forced entry by a vehicle.

PLANNING FOR THE DRILL

6. **Timetable**

The date for the conduct of this drill should be scheduled in the Port Facility's annual work program. Preparations for this drill should commence 2 weeks prior to the date of conduct. An example of a time-table for the preparation and conduct of this drill is given in Appendix 1



7. Personnel

a. Control Team

(1) The Chief Controller may be the Port Facility Security Officer (PFSO) or a manager in charge of security matters. Where the first line response by security staff involves the PFSO, a manager should be considered for the appointment of Chief Controller. This will free the PFSO to respond to the situation as it develops during the drill.

(2) The Chief Controller is to arrange for one vehicle and a skillful driver to take part in this drill as a controller. The driver must be confident of his ability to perform the task safely. The driver should not be familiar to Port Facility security staff.

b. Participants

The participants will be the Port Facility security staff.

c. Safety Officer

The appointment of a safety officer for this drill is essential. He must participate actively in planning all aspects of the action to be carried out during the drill.

8. Resources

a. Vehicle

The Chief Controller is to arrange for a vehicle with an experienced and competent driver for this drill. The vehicle may be sourced from associated companies, contractors or suppliers, etc. It should not be familiar to security staff at the Port Facility.

b. Props

A simple switch box with electrical cables leading under the passenger seat should be placed on the front passenger seat to simulate the means of actuating the “vehicle bomb”.



c. Communications

(1) **Equipment**

(a) Mobile phone: It is recommended that mobile phones should be the preferred means of communications between the Chief Controller and the controllers, subject to the availability of a cell phone network at the location of the Port Facility.

(b) Walkie-talkie: When using walkie-talkies, note that they have a short range and short battery life. They are usually bulky and may not be easily concealed, and they may be subject to interference if left switched on, leading to discovery at awkward moments.

(2) **Codewords**

Code words are used to provide brevity and clarity in communications during the conduct of a drill. A list of suggested code words is given in Appendix 2. The code words must be promulgated to all controllers and participants of the drill.

(3) **Security**

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

d. Other requirements

- (1) Location for the debrief
- (2) Refreshments e.g. during the debrief
- (3) Person to take notes during the debrief
- (4) Stationery for note-taking



9. Safety

a. The safety of personnel and materials is the primary consideration in this drill, as the vehicle is required to make an attempt at forcibly breaking into the Port Facility. The safety of security personnel should be provided for in the Port Facility security instructions on dealing with forcible entry by vehicles.

Where it is assessed that an attempt at a forced entry by a vehicle cannot be made without reasonable assurance of
(1) safety of the security staff and the driver
(2) safety of the vehicle and equipment (such as barriers)
this drill should not be conducted.

b. Consideration should be given to making special arrangements at the Port Facility entrance to ensure safety and facilitate this drill if it is deemed significant and important to practice security staff in reacting to a forced entry by a vehicle.

c. Security staff actions in connection with this drill must be discussed during the planning and closely monitored by the Safety Officer. The Safety Officer is to station himself at a location where he would be:

- (1) Able to observe the events
- (2) Near where potentially hazardous activity may take place
- (3) Accessible should he be required in a contingency

10. Budget

Funding may be needed for the following:

- a. Employment of vehicle and driver.
- b. Preparation of the switch box.
- c. Refreshments for the debrief.
- d. Reimbursement of expenses incurred by controllers or staff.

11. Policy for disclosure

a. The conduct of this drill should be announced, and it should be planned together with the participants.

b. Ships at the Port Facility should be notified in advance of the conduct of this drill, and requested that their crew be informed to keep clear of the Port Facility entrance during the drill period.



12. Management endorsement

The Chief Controller should seek approval from management for the conduct of the drill. Management should be informed of the drill prior to its conduct, even if formal approval is not required.

CONDUCTING THE DRILL

13. Master Events List

a. This drill requires the vehicle to force an entry to the Port Facility after its driver “realizes” that he is not likely to obtain permission to enter. After entering, the vehicle will race to, and stop next to a key installation, ending the drill with a simulated “suicide bomb” explosion. For safety reasons, the “key installation” may be simulated not far from the Port Facility entrance. Security staff are expected to act in accordance with the Port Facility security instructions to thwart a forced entry by a vehicle.

b. The “injects” (simulated events) for the conduct of the drill are provided in the example of a Master Events List at Appendix 3. These would be introduced on schedule or on completion of the preceding event. Adjustments would be made to cater to the prevailing circumstances.

14. Controller briefing

a. The briefing to controllers will be conducted by the Chief Controller and should include the following:

- (1) Roles to be played by controllers.
- (2) Positions of controllers at the commencement of the drill.
- (3) Transport arrangements.
- (4) Suggested responses to questioning by security staff.
- (5) Safety measures.

b. Scenario

A “suicide bomber” has been primed to drive a “vehicle bomb” into the Port Facility to destroy a key target. The driver will approach the entrance and seek permission to enter in the normal manner at the Port Facility entrance. Unable to meet the demand for identification, purpose of visit, etc. the suicide bomber driver becomes desperate to fulfill the mission given to him by his handlers, and makes a forced entry to the Port Facility.



c. Tasks

- (1) The mission of the driver is to enter the Port Facility with a vehicle carrying a simulated bomb in order to attack a selected target. The driver will carry no means of identifying himself. When the request to enter the Port Facility is rejected by security staff, the driver is to return to the vehicle and drive away. At an appropriate point, the vehicle is to turn around and approach the Port Facility entrance slowly. When the driver notices that the way is clear, he accelerates into the Port Facility.
- (2) The Chief Controller will conduct the drill in accordance with the events listed in the Master Events List.
- (3) The Chief Controller should position himself at a suitable location to observe the proceedings.

15. **Participant briefing**

- a. A briefing to participants is to be conducted, and will include the following:
 - (1) Review of the previous drill, including the lessons learnt.
 - (2) Objectives and scenario of the drill to be conducted.
 - (3) The Port Facility's security instructions pertaining to the drill being conducted
 - (4) Update on the ISPS Code and/or local regulations
 - (5) Developments in maritime security (news, events, etc)
- b. It should not include information or details of the controllers' plans for the drill.

16. **Briefing Aids**

Briefing slides and notes are provided in the accompanying PowerPoint files. With entries for the names, dates, locations, etc. these may be used to conduct the briefing to controllers and to participants.



17. Condition

The Port Facility is to proceed with its daily business as usual. No prior preparations on the part of the participants and/or security arrangements are required for the conduct of this drill.

18. Performance Measurement

Performance indicators should be established for this drill. Some may be dependent on the specific circumstances of the Port Facility. Ideally, performance indicators should be objective, but subjective ones may also be observed by the controllers, e.g. the degree of compliance with Port Facility security instructions.

CONCLUDING THE DRILL

19. The drill shall be ended under the following circumstances:

- a. When the vehicle has made its attempt at forcing entry.
- or
- b. When ordered by the Chief Controller or Safety Officer.

20. Debrief

- a. Allow some time for the controllers and security staff to gather their thoughts on the events, in preparation for the debrief.
- b. Assemble all participating security staff for debrief
- c. The Chief Controller should conduct the debrief
- d. Appoint a note-taker to record the salient points of the discussion and in particular the lessons learnt and any follow-up actions required. Guidance should be provided to the note-taker as to what is to be recorded.



21. Reports

- a. Report the conduct of the drill to the management, either with a written report or verbally, as required by the management. An example of a report is provided at Appendix 4.
- b. If a written report is submitted, arrange for a briefing on the drill to be given at a management meeting to inform top management of the proceedings.

22. Records

An ISPS Drills and Exercises Record Book should be maintained by the Port Facility. The following is an example of an entry in the ISPS Drill and Exercises Record Book:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
<i>15/10/XX</i>	<i>Drill</i>	<i>Access control - Vehicle checks</i>	<i>D124 - Vehicle forcing entry</i>	<i>PF/101/08-D121 dated xx/yy/zzzz</i>



D124 TIME-TABLE FOR PLANNING

DAYS TO DRILL	DATE	EVENT	CHECK
D -14	(calendar	Review the Guidelines	
D -14	dates to be	Confirm budget availability for items and/or services to be employed during the drill	
D -12	inserted)	Identify the drill control team	
D -10		Obtain management endorsement if it is required	
D -7		Refine or adjust the Master Events List if necessary	
D -5		Confirm the participants	
D -2		Brief the controllers and issue Letter of Identification, funds, etc.	
D day		Conduct the drill	
D day		Perform the debrief and record the lessons learnt	
D day		Record the conduct of the drill	
D +1		Prepare the written report on the drill	
D +2		Report the conduct of the drill to management	



CODE WORDS

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

CODE WORD	MEANING
Drill Start	The drill is to commence
Drill Suspend	The drill is temporarily suspended
Drill Go	The drill is to resume from where it was suspended
Drill Stop	The drill is to be terminated (prematurely)
Drill End	The drill is completed
For Exercise	The message or statement that follows this preamble relates to the drill only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the drill e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."

**D124 MASTER EVENTS LIST**

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
<i>Date: 12 Oct XX</i>				
001	1600	<i>Controller briefing</i>		<i>Meeting point away from the Port Facility</i>
<i>Date: 17 Oct XX</i>				
002	0830	<i>Participant briefing</i>		<i>Staff canteen</i>
003	0930	<i>Controllers final briefing</i>		<i>Meeting point away from the Port Facility</i>
004	1000	<i>Controllers at respective positions</i>		<i>Chief Controller at Port Facility vehicle entrance</i>
005	1030	<i>All security staff at respective positions</i>		<i>As appropriate</i>
006	1031	<i>Drill commence</i>		
007	1105	<i>Vehicle to proceed to Port Facility vehicle entrance</i>	<i>Port Facility security staff should notice the vehicle's approach</i>	<i>Port Facility vehicle entrance</i>
008	1106	<i>Driver to attempt to obtain pass to enter the Port Facility</i>	<i>Port Facility security staff to respond accordingly. Vehicle check may be carried out.</i>	<i>Port Facility vehicle entrance</i>
009	1115	<i>Vehicle to race in to the Port Facility</i>	<i>Port Facility security staff should take immediate action in accordance with Port Facility security instructions</i>	<i>Port Facility vehicle entrance</i>
010	1120	<i>Drill End</i>	<i>Dispersal of personnel</i>	
011	1400	<i>Debrief</i>	<i>Controllers and security staff to report findings and lessons learnt</i>	<i>Staff recreation room</i>



REPORT ON THE CONDUCT OF SECURITY DRILL D124

Type of Drill	<i>Access control – Vehicle checks</i>
Drill Conducted	<i>Vehicle forcing entry</i>
General objective	<i>To practice security staff in vehicle access control measures</i>
Date and time	<i>15 October XXXX at 1000 hrs.</i>
Duration	<i>2 hrs</i>
Controllers	<i>Mr GHJ, Manager, Safety and Security – Chief controller Mr YHU, Driver</i>
Participants	<i>Security staff from Team 2 and Team 3 All participants were briefed on the conduct of this drill</i>
Significant events	<p><i>1. A vehicle simulating a “vehicle bomb” driven by a “suicide bomber” attempted to force an entry into the Port Facility.</i></p> <p><i>2. The vehicle approached the entrance and the driver tried to get a pass to enter the Port Facility with his vehicle. Without identification and any reason for entering, the security staff correctly rejected his request.</i></p> <p><i>3. The vehicle drove away for a short distance, then turned back and approached the entrance slowly. Security staff acted in accordance with Port Facility security instructions and approached the vehicle to stop it. The vehicle sped past security staff, avoided the barriers, and succeeded in entering the Port Facility.</i></p> <p>Include photographs if relevant</p>



<p>Lessons learnt</p>	<p><i>1. Security barriers for Security Level 2 were located in accordance with the PFSP i.e. they were not moved to enhance safety during the drill, as this was deemed unnecessary. The barriers slowed down the vehicle but not sufficiently for an effective response.</i></p> <p><i>2. Security staff did not place themselves in any dangerous position when approaching the vehicle. The Port Facility security instructions on approaching a vehicle by security staff are validated.</i></p> <p><i>3. It is debatable if any barrier that has to admit vehicles in the normal course of business will prove effective against a determined attacker. However, the driver reported that he found the barriers intimidating enough to slow his approach. Thus, the deterrent value is assessed to be adequate.</i></p> <p>Include photographs if relevant</p>
<p>Follow-up action</p>	<p><i>The current arrangement of security barriers at the entrance for Security Level 2 is presently unchanged for Security Level 3. A new arrangement will be worked out for the barriers for Security Level 3, maintaining the current arrangement for Security Level 2.</i></p>
<p>Performance indicators</p>	<p><i>The degree of compliance with Port Facility security instructions in handling:</i></p> <ol style="list-style-type: none"><i>1. Drivers request for a pass – x%</i><i>2. Vehicle forcing entry – y%</i>
<p>Total cost</p>	<p>\$xxx</p>



Section 2

Contiguous Zone Security

Security surveillance must extend beyond the Port Facility's premises to the adjacent land and sea areas, or "contiguous zone" if it is to be comprehensive, and successful. This is to provide a surveillance buffer zone where persons behaving suspiciously and/or suspicious activities observed would provide timely alerts to security staff, so that when perimeter security is threatened, security personnel are ready for any eventuality to respond appropriately in accordance with the Port Facility's security instructions. While enforcement of security measures in the contiguous zone are unlikely to be within legal jurisdiction of a Port Facility, the act of "concerned enquiry" would in itself be of some deterrent value, and may also be considered in the implementation of Port Facility security measures.

DRILL	TITLE
	Personnel
D211	Persons loitering outside the port facility
D212	Person taking photographs of the port facility
D213	Person on vessel engaged in suspicious activity
	Vehicles and vessels
D214	Vehicle loitering near the port facility
D215	Vessel loitering offshore at the port facility



Drill	D211
Category	Contiguous zone security
Type	Personnel
Subject	Persons loitering outside the port facility
Security Level	1 and 2
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Vol I Part 1 – Guidelines for the Conduct of Maritime Security Drills 4. ISPS Code

INTRODUCTION

1. Security surveillance, and enforcement, where possible, must extend beyond the Port Facility's premises to the adjacent land and sea areas, or "contiguous zone" if it is to be comprehensive, and successful. This is to provide a surveillance buffer zone where potential suspicious persons and/or activities observed would provide a timely alert to security staff, so that when perimeter security is threatened, security personnel are ready for any eventuality to respond appropriately in accordance with the Port Facility's security instructions.

2. This drill involves three persons loitering outside and around the Port Facility's premises in a suspicious manner, and their interception by security staff.

AIM OF THE DRILL

3. **General Objective**

To impart a greater sense of awareness among employees of the security threat to the Port Facility.



4. **Specific Objectives**

- a. To raise the awareness among employees of the threat of undesirable persons loitering outside the Port Facility.
- b. To practice security staff in the procedures for handling undesirable persons outside the Port Facility premises.
- c. To practice personnel identification and verification procedures.
- d. Meet or better the specified benchmark response times for this drill.

REQUIRED ATTAINMENTS

5. On completion of the drill, Port Facility employees and security staff will be able to:
 - a. detect persons loitering outside the Port Facility Security.
 - b. challenge and deal with persons loitering outside the Port Facility in accordance with the Port Facility's security instructions.
 - c. Challenge and deter "loiterers" in accordance with the Port Facility's procedures for personnel identification and verification.

PLANNING FOR THE DRILL

6. **Timetable**

The date for the conduct of this drill should be scheduled in the Port Facility's annual work program. Preparations for this drill should commence 2 weeks prior to the date of conduct. An example of a time-table for the preparation and conduct of this drill is given in Appendix 1

7. **Personnel**

- a. Control Team

- (1) The Chief Controller may be the Port Facility Security Officer (PFSO) or a manager in charge of security matters. Where the first line response by security staff involves the PFSO, a manager should be considered for the appointment of Chief Controller. This will free the PFSO to respond to the situation as it develops during the drill.



(2) The Chief Controller is to arrange for three persons to be the “loiterers”. The persons should not be familiar to Port Facility security staff.

b. Participants

The participants will be the Port Facility security staff.

c. Safety Officer

The appointment of a safety officer for this drill should be considered.

8. **Resources**

a. Communications

(1) **Equipment**

(a) Mobile phone: It is recommended that mobile phones should be the preferred means of communications between the Chief Controller and the controllers, subject to the availability of a cell phone network at the location of the Port Facility.

(b) Walkie-talkie: When using walkie-talkies, note that they have a short range and short battery life. They are usually bulky and may not be easily concealed, and they may be subject to interference if left switched on, leading to discovery at awkward moments.

(2) **Codewords**

Code words are used to provide brevity and clarity in communications during the conduct of a drill. A list of suggested code words is given in Appendix 2. The code words must be promulgated to all controllers and participants of the drill.

(3) **Security**

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



b. Other requirements

- (1) Location for the debrief
- (2) Refreshments e.g. during the debrief
- (3) Person to take notes during the debrief
- (4) Stationery for note-taking

9. **Safety**

a. Security staff activity in connection with this drill would be monitored by the Safety Officer, if one is appointed. The Safety Officer should station himself at a location where he would be:

- (1) Able to observe the majority of events
- (2) Near where potentially hazardous activity may take place
- (3) Accessible should he be required in a contingency

b. Controllers with roles as intruders or drivers, etc. should be issued with a letter of identification provided in Appendix 3 to forestall any undesirable action or behavior on the part of security staff toward them.

10. **Budget**

Funding may be needed for the following:

- a. Employment of “loiterers”
- b. Transportation costs for the “loiterers”
- c. Refreshments for the debrief
- d. Reimbursement of expenses incurred by controllers or staff

11. **Policy for disclosure**

a. The Chief Controller should decide if the drill is to be announced (i.e. participants such as security staff will be notified of the conduct of the drill) or the conduct of the drill will not be announced beforehand (i.e. the participants will not be informed of the conduct of the drill).

b. In deciding the mode, the following may be taken into consideration:

- (1) Security - Where it is assessed that confidentiality is uncertain or difficult to maintain, it is preferable to opt for an announced drill.
- (2) Organizational culture - Unannounced drills may be perceived as a test of the participants.



- (3) Ships at the Port Facility - Where it is anticipated that the drill may impact in any way on ships alongside, their crew, agents, suppliers or contractors, ships alongside should be notified in advance of the drill.

12. Management endorsement

The Chief Controller should seek approval from management for the conduct of the drill. Management should be informed of the drill prior to its conduct, even if formal approval is not required.

CONDUCTING THE DRILL

13. Master Events List

- a. This drill requires the controllers to “loiter” as a group outside the Port Facility premises and walk slowly about the perimeter fence.
- b. Security staff are expected to notice the loiterers and attempt to interdict them in accordance with the Port Facility’s security instructions.
- c. The “injects” (simulated events) for the conduct of the drill are provided in the example of a Master Events List at Appendix 4. These would be introduced on schedule or on completion of the preceding event. Adjustments would be made to cater to the prevailing circumstances.

14. Controller briefing

- a. The briefing to controllers will be conducted by the Chief Controller and should include the following:
 - (1) Roles to be played by controllers.
 - (2) Positions of controllers at the commencement of the drill.
 - (3) Transport arrangements.
 - (4) Suggested responses to questioning by security staff.
 - (5) Safety measures.



b. Scenario

A terrorist cell has commenced planning an attack on installations in the country in order to create public chaos and de-stabilize the economy. Their initial plan is to conduct preliminary surveillance of potential targets and they have decided to investigate this Port Facility.

c. Tasks

(1) Three terrorist cell operatives are directed to conduct surveillance of the Port Facility from the outside in order to determine the weak links in perimeter security, and assess the quality of the security measures from the response they attract from the Port Facility security staff. Commencing near the Port Facility entrance, they are to walk slowly around the perimeter pausing frequently to chat and look towards installations in the Port Facility. They should loiter at entrances to the Port Facility. They will not make any attempt to conceal themselves.

(2) A simulated dialogue between the “loiterers” and the Port Facility security staff is provided at Appendix 5. It is not meant as a script, but a guide to the possible interaction.

(3) The Chief Controller will conduct the drill in accordance with the events listed in the Master Events List.

(4) The Chief Controller should position himself at a suitable location to discreetly observe the proceedings.

15. **Participant briefing**

a. A briefing to participants should be scheduled if it is decided that the drill is to be announced (paragraph 11). The brief to participants should include the following:

- (1) Review of the previous drill, including the lessons learnt.
- (2) Objectives and scenario of the drill to be conducted.
- (3) The Port Facility’s security instructions pertaining to the drill being conducted.
- (4) Update on the ISPS Code and/or local regulations.
- (5) Developments in maritime security (news, events, etc)



- b. It should not include information or details of the controllers' plans for the drill.

16. Briefing Aids

Briefing slides and notes are provided in the accompanying PowerPoint files. With entries for the names, dates, locations, etc. these may be used to conduct the briefing to controllers and to participants.

17. Condition

The Port Facility is to proceed with its daily business as usual. No prior preparations on the part of the participants and/or security arrangements are required for the conduct of this drill.

18. Performance Measurement

- a. Performance indicators should be established for this drill. Some may be dependent on the specific circumstances of the Port Facility. Ideally, performance indicators should be objective, but subjective ones may also be observed by the controllers, e.g. the degree of compliance with Port Facility security instructions.
- b. The following objective performance indicators are the target benchmark response times to be achieved for this drill:

FROM	TO	DURATION (minutes)
Appearance of loiterers at Port Facility main entrance	Detection by security staff	x
Detection of loiterers	Deployment of response team	y

CONCLUDING THE DRILL

- 19. The drill shall be ended under the following circumstances:
 - a. When the "loiterers" are questioned by the security staff and security staff have reported back.
 - or
 - b. At a pre-determined time after the commencement of the drill if the loiterers are not noticed.
 - or
 - c. Upon the Chief Controller's instruction.



20. **Debrief**

- a. Allow some time for the controllers and security staff to gather their thoughts on the events, in preparation for the debrief.
- b. Assemble all participating security staff for debrief
- c. The Chief Controller should conduct the debrief
- d. Appoint a note-taker to record the salient points of the discussion and in particular the lessons learnt and any follow-up actions required. Guidance should be provided to the note-taker as to what is to be recorded.

21. **Reports**

- a. Report the conduct of the drill to the management, either with a written report or verbally, as required by the management. An example of a report is provided at Appendix 6.
- b. If a written report is submitted, arrange for a briefing on the drill to be given at a management meeting to inform top management of the proceedings.

22. **Records**

An ISPS Drills and Exercises Record Book should be maintained by the Port Facility. The following is an example of an entry in the ISPS Drill and Exercises Record Book:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
<i>15/10/XX</i>	<i>Drill</i>	<i>Contiguous zone security</i>	<i>D211 - Person loitering outside the port facility</i>	<i>PF/101/08-D211 dated xx/yy/zzzz</i>



D211 TIME-TABLE FOR PLANNING

DAYS TO DRILL	DATE	EVENT	CHECK
D -14	(calendar	Review the Guidelines	
D -14	dates to be	Confirm budget availability for items and/or services to be employed during the drill	
D -12	inserted)	Identify the drill control team	
D -10		Obtain management endorsement if it is required	
D -7		Refine or adjust the Master Events List if necessary	
D -5		Confirm the participants	
D -2		Brief the controllers and issue Letter of Identification, funds, etc.	
D day		Conduct the drill	
D day		Perform the debrief and record the lessons learnt	
D day		Record the conduct of the drill	
D +1		Prepare the written report on the drill	
D +2		Report the conduct of the drill to management	



CODE WORDS

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

CODE WORD	MEANING
Drill Start	The drill is to commence
Drill Suspend	The drill is temporarily suspended
Drill Go	The drill is to resume from where it was suspended
Drill Stop	The drill is to be terminated (prematurely)
Drill End	The drill is completed
For Exercise	The message or statement that follows this preamble relates to the drill only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the drill e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."



Port Facility

12 October XXXX

*The Security Officer
Port Facility*

LETTER OF IDENTIFICATION

This is to certify that *Mr. ABC* is a controller in a *Port Facility* maritime security drill being conducted on *17 October XXXX*. Please contact the undersigned and escort *Mr. ABC* to the Security Office.

signed
Mr. DEF
Port Facility Security Officer

**D211 MASTER EVENTS LIST**

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
<i>Date: 12 Oct XX</i>				
001	1600	<i>Controller briefing</i>		<i>Meeting point away from the Port Facility</i>
<i>Date: 17 Oct XX</i>				
002	0830	<i>Participant briefing*</i>		<i>Staff canteen</i>
003	0930	<i>Controllers final briefing</i>		<i>Meeting point away from the Port Facility convenient to transportation for the "loiterers"</i>
004	1000	<i>Controllers at respective positions</i>		
005	1000	<i>"Loiterers" to embark transport to the Port Facility</i>		<i>"Loiterers" at nearby bus stop ready to embark bus to Port Facility</i>
006	1030	<i>All security staff at respective positions</i>		<i>As appropriate</i>
007	1031	<i>Drill commence</i>		
008	1105	<i>"Loiterers" to approach Port Facility perimeter fence</i>	<i>Port Facility security staff are expected to notice the "loiterers" and challenge them</i>	<i>South perimeter fence</i>
009	1130	<i>Drill End</i>	<i>Dispersal of personnel</i>	
010	1430	<i>Debrief</i>	<i>Controllers and security staff to report findings and lessons learnt</i>	<i>Staff recreation room</i>
<i>* Not required if the drill is to be conducted without prior notice to the participants</i>				

**D 211 - POSSIBLE DIALOGUE BETWEEN THE SECURITY STAFF
AND THE INTRUDERS**

This dialogue serves as a guide to meet the simulation requirements of the drill. It is not meant as a script either for the security staff or the controller, but as a guide to the intent and content of the possible communication.

Security staff to Loiterers	<i>Who are you?</i>
Loiterers to Security staff	<i>We are casual laborers.</i>
Security staff to Loiterers	<i>What are you doing here?</i>
Loiterers to Security staff	<i>Waiting for a contractor to employ us.</i>
Security staff to Loiterers	<i>Show me your identification card/papers.</i>
Loiterers to Security staff	<i>I didn't bring it.</i>
Security staff to Loiterers	<i>If you didn't bring your identification papers, how are you going to be employed by a contractor?</i>
Loiterers to Security staff	(No response)
Security staff to Loiterers	<i>You must not loiter around here</i>
Loiterers to Security staff	<i>Why? We are not on your property</i>

**REPORT ON THE CONDUCT OF SECURITY DRILL D211**

Type of Drill	<i>Contiguous zone security - Personnel</i>
Drill Conducted	<i>Person loitering outside the port facility</i>
General objective	<i>To impart a greater sense of awareness among employees of the security threat to the Port Facility</i>
Date and time	<i>15 October XXXX at 1000 hrs.</i>
Duration	<i>5 hrs</i>
Controllers	<i>Mr GHJ, Manager, Safety and Security – Chief controller Mr YHU, Loiterer 1 Mr KMJ, Loiterer 2 Mr YHN, Loiterer 3</i>
Participants	<i>Security staff from Team 2 and Team 3 All participants were briefed on the conduct of this drill</i>
Significant events	<i>1. Three persons were engaged to loiter outside the Port Facility. 2. Ms VBN from the accounting department noticed the “loiterers” from her office window and alerted the security staff at the main gate, who sent a team to deal with the “loiterers” in accordance with Port Facility security procedures.</i> <i>Include photographs if relevant</i>



Lessons learnt	<p><i>1. All Port Facility staff can contribute to security.</i></p> <p><i>2. Security staff manning surveillance cameras could not see the “loiterers” as the cameras were trained inside the Port Facility premises.</i></p> <p>Include photographs if relevant</p>
Follow-up action	<p><i>1. PFSO will liaise with the local authority to patrol the area and discourage loitering in the area.</i></p> <p><i>2. A proposal will be prepared for management to consider the need for surveillance cameras to cover the area just outside the perimeter fence.</i></p>
Performance indicators	<p><i>1. From Appearance of loiterers at Port Facility main entrance to Detection by Port Facility staff – x minutes.</i></p> <p><i>2. From Detection of loiterers to Deployment of response team – y minutes.</i></p>
Total cost	\$xxx



Drill	D212
Category	Contiguous zone security
Type	Personnel
Subject	Person taking photographs of the port facility
Security Level	1 and 2
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Vol I Part 1 – Guidelines for the Conduct of Maritime Security Drills 4. ISPS Code

INTRODUCTION

1. Security surveillance, and enforcement, where possible, must extend beyond the Port Facility's premises to the adjacent land and sea areas, or "contiguous zone" if it is to be comprehensive, and successful. This is to provide a surveillance buffer zone where potential suspicious persons and/or activities observed would provide a timely alert to security staff, so that when Port Facility security is threatened, security personnel are ready for any eventuality to respond appropriately in accordance with the Port Facility's security instructions.

2. This drill involves a person photographing the Port Facility from outside the premises in a suspicious manner, and the intervention by security staff.

AIM OF THE DRILL

3. **General Objective**

To impart a greater sense of awareness among employees of the security threat to the Port Facility.



4. Specific Objectives

- a. To raise the awareness among employees of the threat of surveillance being conducted on the Port Facility
- b. To practice security staff in the procedures for handling undesirable persons outside the Port Facility premises.
- c. To practice personnel identification and verification procedures.
- d. Meet or better the specified benchmark response times for this drill.

REQUIRED ATTAINMENTS

5. On completion of the drill, Port Facility employees and security staff will be able to:
- a. Detect persons loitering outside the Port Facility Security
 - b. Recognize photographic surveillance being conducted on the Port Facility
 - c. Interdict undesirable activity that may be detrimental to the Port Facility

PLANNING FOR THE DRILL

6. Timetable

The date for the conduct of this drill should be scheduled in the Port Facility's annual work program. Preparations for this drill should commence 2 weeks prior to the date of conduct. An example of a time-table for the preparation and conduct of this drill is given in Appendix 1

7. Personnel

a. Control Team

- (1) The Chief Controller may be the Port Facility Security Officer (PFSO) or a manager in charge of security matters. Where the first line response by security staff involves the PFSO, a manager should be considered for the appointment of Chief Controller. This will free the PFSO to respond to the situation as it develops during the drill.



(2) The Chief Controller is to arrange for one person to conduct photographic surveillance of the Port Facility. The person should not be familiar to Port Facility security staff.

b. Participants

The participants will be the Port Facility security staff.

c. Safety Officer

The appointment of a safety officer for this drill should be considered.

8. **Resources**

a. Camera

The controller is to be equipped with a reasonably professional looking camera, preferably with a telephoto lens.

b. Communications

(1) **Equipment**

(a) Mobile phone: It is recommended that mobile phones should be the preferred means of communications between the Chief Controller and the controllers, subject to the availability of a cell phone network at the location of the Port Facility.

(b) Walkie-talkie: When using walkie-talkies, note that they have a short range and short battery life. They are usually bulky and may not be easily concealed, and they may be subject to interference if left switched on, leading to discovery at awkward moments.

(2) **Codewords**

Code words are used to provide brevity and clarity in communications during the conduct of a drill. A list of suggested code words is given in Appendix 2. The code words must be promulgated to all controllers and participants of the drill.



(3) **Security**

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

b. Other requirements

- (1) Location for the debrief
- (2) Refreshments e.g. during the debrief
- (3) Person to take notes during the debrief
- (4) Stationery for note-taking

9. **Safety**

a. Security staff activity in connection with this drill would be monitored by the Safety Officer, if one is appointed. The Safety Officer should station himself at a location where he would be:

- (1) Able to observe the majority of events
- (2) Near where potentially hazardous activity may take place
- (3) Accessible should he be required in a contingency

b. Controllers with roles as intruders or drivers, etc. should be issued with a letter of identification provided in Appendix 3 to forestall any undesirable action or behavior on the part of security staff toward them.

10. **Budget**

Funding may be needed for the following:

- a. Employment of the photographer
- b. Transportation costs for the photographer
- c. Hire of a suitable camera
- d. Refreshments for the debrief
- e. Reimbursement of expenses incurred by controllers or staff



11. Policy for disclosure

- a. The Chief Controller should decide if the drill is to be announced (i.e. participants such as security staff will be notified of the conduct of the drill) or the conduct of the drill will not be announced beforehand (i.e. the participants will not be informed of the conduct of the drill).
- b. In deciding the mode, the following may be taken into consideration:
 - (1) Security - Where it is assessed that confidentiality is uncertain or difficult to maintain, it is preferable to opt for an announced drill.
 - (2) Organizational culture - Unannounced drills may be perceived as a test of the participants.
 - (3) Ships at the Port Facility - Where it is anticipated that the drill may impact in any way on ships alongside, their crew, agents, suppliers or contractors, ships alongside should be notified in advance of the drill.

12. Management endorsement

The Chief Controller should seek approval from management for the conduct of the drill. Management should be informed of the drill prior to its conduct, even if formal approval is not required.

CONDUCTING THE DRILL

13. Master Events List

- a. This drill requires the controller loiter outside the Port Facility premises and walk slowly about the perimeter fence taking photographs of the Port Facility.
- b. Security staff are expected to notice the photographer and attempt to intervene in accordance with the Port Facility's security instructions.
- c. The "injects" (simulated events) for the conduct of the drill are provided in the example of a Master Events List at Appendix 4. These would be introduced on schedule or on completion of the preceding event. Adjustments would be made to cater to the prevailing circumstances.



14. **Controller briefing**

a. The briefing to controllers will be conducted by the Chief Controller and should include the following:

- (1) Roles to be played by controllers.
- (2) Positions of controllers at the commencement of the drill.
- (3) Transport arrangements.
- (4) Suggested responses to questioning by security staff.
- (5) Safety measures.

b. Scenario

A terrorist group is planning an attack on the Port Facility. To prepare their plan, they have tasked one member of the group to conduct photographic surveillance of the Port Facility in order to determine the best points for attack. Their initial surveillance will be done from outside the Port Facility premises.

c. Tasks

- (1) The mission of the photographer is to capture images of key installations and security arrangements in the Port Facility from the outside in order to plan an attack. The photographer will loiter outside the Port Facility premises and walk slowly about the perimeter fence pausing to photograph installations and security arrangements in the Port Facility. He will conduct his surveillance as covertly as possible.
- (2) A simulated dialogue between the photographer and the Port Facility security staff is provided at Appendix 5. It is not meant as a script, but a guide to the possible interaction.
- (3) The Chief Controller will conduct the drill in accordance with the events listed in the Master Events List.
- (4) The Chief Controller should position himself at a suitable location to discreetly observe the proceedings.

15. **Participant briefing**

a. A briefing to participants should be scheduled if it is decided that the drill is to be announced (paragraph 11). The brief to participants should include the following:



- (1) Review of the previous drill, including the lessons learnt.
 - (2) Objectives and scenario of the drill to be conducted.
 - (3) The Port Facility's security instructions pertaining to the drill being conducted.
 - (4) Update on the ISPS Code and/or local regulations.
 - (5) Developments in maritime security (news, events, etc)
- b. It should not include information or details of the controllers' plans.

16. Briefing Aids

Briefing slides and notes are provided in the accompanying PowerPoint files. With entries for the names, dates, locations, etc. these may be used to conduct the briefing to controllers and to participants.

17. Condition

The Port Facility is to proceed with its daily business as usual. No prior preparations on the part of the participants and/or security arrangements are required for the conduct of this drill.

18. Performance Measurement

- a. Performance indicators should be established for this drill. Some may be dependent on the specific circumstances of the Port Facility. Ideally, performance indicators should be objective, but subjective ones may also be observed by the controllers, e.g. the degree of compliance with Port Facility security instructions.
- b. The following objective performance indicators are the target benchmark response times to be achieved for this drill:

FROM	TO	DURATION (minutes)
Appearance of photographer at Port Facility main entrance	Detection by security staff	x
Detection of photographer	Deployment of response team	y



CONCLUDING THE DRILL

19. The drill shall be ended under the following circumstances:
- a. When the photographer is questioned by the security staff.
or
 - b. If the photographer is not observed during his mission, then at a pre-determined time after the start of his task. This time will be determined by the Chief Controller based on how long the surveillance would be expected to take.
or
 - c. Upon the Chief Controller's instruction.
20. **Debrief**
- a. Allow some time for the controllers and security staff to gather their thoughts on the events, in preparation for the debrief.
 - b. Assemble all participating security staff for debrief
 - c. The Chief Controller should conduct the debrief
 - d. Appoint a note-taker to record the salient points of the discussion and in particular the lessons learnt and any follow-up actions required. Guidance should be provided to the note-taker as to what is to be recorded.
 - e. Retrieve, review then delete all photographs that may have been taken by the photographer.
21. **Reports**
- a. Report the conduct of the drill to the management, either with a written report or verbally, as required by the management. An example of a report is provided at Appendix 6.
 - b. If a written report is submitted, arrange for a briefing on the drill to be given at a management meeting to inform top management of the proceedings.
22. **Records**

An ISPS Drills and Exercises Record Book should be maintained by the Port Facility. The following is an example of an entry in the ISPS Drill and Exercises Record Book:



**ISPS Port Facility Drills and Exercises
Record Book**

DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
<i>15/10/XX</i>	<i>Drill</i>	<i>Contiguous zone security</i>	<i>D212 - Person taking photographs of the port facility</i>	<i>PF/101/08-D212 dated xx/yy/zzzz</i>



D212 TIME-TABLE FOR PLANNING

DAYS TO DRILL	DATE	EVENT	CHECK
D -14	(calendar	Review the Guidelines	
D -14	dates to be	Confirm budget availability for items and/or services to be employed during the drill	
D -12	inserted)	Identify the drill control team	
D -10		Obtain management endorsement if it is required	
D -7		Refine or adjust the Master Events List if necessary	
D -5		Confirm the participants	
D -2		Brief the controllers and issue Letter of Identification, funds, etc.	
D day		Conduct the drill	
D day		Perform the debrief and record the lessons learnt	
D day		Record the conduct of the drill	
D +1		Prepare the written report on the drill	
D +2		Report the conduct of the drill to management	



CODE WORDS

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

CODE WORD	MEANING
Drill Start	The drill is to commence
Drill Suspend	The drill is temporarily suspended
Drill Go	The drill is to resume from where it was suspended
Drill Stop	The drill is to be terminated (prematurely)
Drill End	The drill is completed
For Exercise	The message or statement that follows this preamble relates to the drill only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the drill e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."



Port Facility

12 October XXXX

*The Security Officer
Port Facility*

LETTER OF IDENTIFICATION

This is to certify that *Mr. ABC* is a controller in a *Port Facility* maritime security drill being conducted on *17 October XXXX*. Please contact the undersigned and escort *Mr. ABC* to the Security Office.

signed
Mr. DEF
Port Facility Security Officer

**D212 MASTER EVENTS LIST**

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
<i>Date: 12 Oct XX</i>				
001	1600	<i>Controller briefing</i>		<i>Meeting point away from the Port Facility</i>
<i>Date: 17 Oct XX</i>				
002	0830	<i>Participant briefing*</i>		<i>Staff canteen</i>
003	0930	<i>Controllers final briefing</i>		<i>Meeting point away from the Port Facility convenient to transportation for the photographer</i>
004	1000	<i>Controllers at respective positions</i>		
005	1000	<i>Photographer to embark transport to the Port Facility</i>		<i>Photographer at nearby bus stop ready to embark bus to Port Facility</i>
006	1030	<i>All security staff at respective positions</i>		<i>As appropriate</i>
007	1031	<i>Drill commence</i>		
008	1105	<i>Photographer to approach Port Facility perimeter fence</i>	<i>Port Facility staff should notice the photographer and get the security staff to challenge him</i>	<i>Perimeter fence</i>
009	1130	<i>Drill End</i>	<i>Dispersal of personnel</i>	
010	1430	<i>Debrief</i>	<i>Controllers and security staff to report findings and lessons learnt</i>	<i>Staff recreation room</i>
<i>* Not required if the drill is to be conducted without prior notice to the participants</i>				

**D 212 - POSSIBLE DIALOGUE BETWEEN THE SECURITY STAFF
AND THE INTRUDERS**

This dialogue serves as a guide to meet the simulation requirements of the drill. It is not meant as a script either for the security staff or the controller, but as a guide to the intent and content of the possible communication.

Security staff to Photographer	<i>Who are you?</i>
Photographer to Security staff	<i>I'm working in the factory down the road.</i>
Security staff to Photographer	<i>What are you doing here?</i>
Photographer to Security staff	<i>I am just passing by.</i>
Security staff to Photographer	<i>Show me your identification card/papers.</i>
Photographer to Security staff	<i>I didn't bring it.</i>
Security staff to Photographer	<i>Why are you taking photos of the Port Facility?</i>
Photographer to Security staff	<i>You have no right to question me. I am on public land.</i>

**REPORT ON THE CONDUCT OF SECURITY DRILL D212**

Type of Drill	<i>Contiguous zone security - Personnel</i>
Drill Conducted	<i>Person taking photographs of the port facility</i>
General objective	<i>To impart a greater sense of awareness among employees of the security threat to the Port Facility</i>
Date and time	<i>15 October XXXX at 1000 hrs.</i>
Duration	<i>5 hrs</i>
Controllers	<i>Mr GHJ, Manager, Safety and Security – Chief controller Mr HYU, Photographer</i>
Participants	<i>Security staff from Team 2 and Team 3 All participants were briefed on the conduct of this drill</i>
Significant events	<i>1. One person was engaged to conduct surveillance with a camera outside the Port Facility. 2. Security staff noticed the photographer near the main gate, and dealt with him in accordance with Port Facility security procedures.</i> <i>Include photographs if relevant</i>
Lessons learnt	<i>Security staffs are effective in dealing with persons outside the Port Facility premises even though they have no jurisdiction there.</i> <i>Include photographs if relevant</i>



Follow-up action	<i>PFSO will verify the contact numbers and persons to call in the local authority in the event of an actual surveillance attempt.</i>
Performance indicators	<i>1. From Appearance of photographer at Port Facility main entrance to Detection by security staff – x minutes.</i> <i>2. From Detection of photographer to Deployment of response team – y minutes.</i>
Total cost	<i>\$xxx</i>



Drill	D213
Category	Contiguous zone security
Type	Personnel
Subject	Person on vessel engaged in suspicious activity
Security Level	1 and 2
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Vol I Part 1 – Guidelines for the Conduct of Maritime Security Drills 4. ISPS Code

INTRODUCTION

1. Security surveillance, and enforcement, where possible, must extend beyond the Port Facility's premises to the adjacent land and sea areas, or "contiguous zone" if it is to be comprehensive, and successful. This is to provide a surveillance buffer zone where potential suspicious persons and/or activities observed would provide a timely alert to security staff, so that when Port Facility security is threatened, security personnel are ready for any eventuality to respond appropriately in accordance with the Port Facility's security instructions.
2. This drill involves a person conducting surveillance of the Port Facility from a vessel offshore, and the responses to this by security staff.

AIM OF THE DRILL

3. **General Objective**

To impart a greater sense of awareness among employees of the security threat to the Port Facility.



4. **Specific Objectives**

- a. To raise the awareness among employees of the security threat from the seaward approaches to the Port Facility
- b. To practice security staff in the procedures for handling persons deemed to be engaged in undesirable or suspicious activity on board vessels approaching the Port Facility
- c. Meet or better the specified benchmark response times for this drill.

REQUIRED ATTAINMENTS

5. On completion of the drill, Port Facility employees and security staff will be able to:
 - a. Detect vessels approaching the Port Facility from seaward
 - b. Recognize undesirable or suspicious activity by persons on board vessels approaching the Port Facility
 - c. Interdict undesirable activity that may be detrimental to the Port Facility

PLANNING FOR THE DRILL

6. **Timetable**

The date for the conduct of this drill should be scheduled in the Port Facility's annual work program. Preparations for this drill should commence 2 weeks prior to the date of conduct. An example of a time-table for the preparation and conduct of this drill is given in Appendix 1

7. **Personnel**

- a. Control Team
 - (1) The Chief Controller may be the Port Facility Security Officer (PFSO) or a manager in charge of security matters. Where the first line response by security staff involves the PFSO, a manager should be considered for the appointment of Chief Controller. This will free the PFSO to respond to the situation as it develops during the drill.



(2) The Chief Controller is to arrange for one person to conduct surveillance of the Port Facility from a vessel in the adjacent sea area. The person should not be familiar to Port Facility security staff.

b. Participants

The participants will be the Port Facility security staff.

c. Safety Officer

The appointment of a safety officer for this drill should be considered.

8. **Resources**

a. Transportation

(1) A harbor launch or pleasure craft may be hired for the drill.

(2) If the sea area off the Port Facility is a gazetted restricted area, the Chief Controller must make arrangements with the appropriate authority for the vessel to be granted temporary access for the purposes of the drill.

b. Camera

The controller is to be equipped with a reasonably professional-looking video camera, preferably with a telephoto lens.

c. Communications

(1) **Equipment**

(a) Mobile phone: It is recommended that mobile phones should be the preferred means of communications between the Chief Controller and the controllers, subject to the availability of a cell phone network at the location of the Port Facility.

(b) Walkie-talkie: When using walkie-talkies, note that they have a short range and short battery life. They are usually bulky and may not be easily concealed, and they may be subject to interference if left switched on, leading to discovery at awkward moments.

(c) Radio: Harbor communications channels for small vessels may be required, for vessel - shore communications.



(2) **Codewords**

Code words are used to provide brevity and clarity in communications during the conduct of a drill. A list of suggested code words is given in Appendix 2. The code words must be promulgated to all controllers and participants of the drill.

(3) **Security**

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

d. Other requirements

- (1) Location for the debrief
- (2) Refreshments e.g. during the debrief
- (3) Person to take notes during the debrief
- (4) Stationery for note-taking

9. **Safety**

a. Security staff activity in connection with this drill would be monitored by the Safety Officer, if one is appointed. The Safety Officer should station himself at a location where he would be:

- (1) Able to observe the majority of events
- (2) Near where potentially hazardous activity may take place
- (3) Accessible should he be required in a contingency

b. Controllers with roles as intruders or drivers, etc. should be issued with a letter of identification provided in Appendix 3 to forestall any undesirable action or behaviour on the part of security staff or local security authority toward them.

c. The vessel shall not act in any way prejudicial to the safety of the Port Facility infrastructure.



10. **Budget**

Funding may be needed for the following:

- a. Employment of the observer
- b. Hire of a vessel with steersman
- c. Hire of a suitable camera
- d. Refreshments for the debrief
- e. Reimbursement of expenses incurred by controllers or staff

11. **Policy for disclosure**

- a. The Chief Controller should decide if the drill is to be announced (i.e. participants such as security staff will be notified of the conduct of the drill) or the conduct of the drill will not be announced beforehand (i.e. the participants will not be informed of the conduct of the drill).
- b. In deciding the mode, the following may be taken into consideration:
 - (1) Security - Where it is assessed that confidentiality is uncertain or difficult to maintain, it is preferable to opt for an announced drill.
 - (2) Organizational culture - Unannounced drills may be perceived as a test of the participants.
- c. This drill is likely to impact on ships alongside, or their crew, as the surveillance vessel may be observed from on board, and therefore cause some concern. Ships should be notified in advance of the drill.

12. **Management endorsement**

The Chief Controller should seek approval from management for the conduct of the drill. Management should be informed of the drill prior to its conduct, even if formal approval is not required.

CONDUCTING THE DRILL

13. **Master Events List**

- a. This drill requires the controller, embarked on a small vessel such as a harbor launch or pleasure craft, to make observations of the Port Facility. The vessel should make two passes along the sea front of the Port Facility premises, with the observer on the upper deck.



b. Security staffs are expected to notice the observer and respond in accordance with the Port Facility's security instructions.

c. The "injects" (simulated events) for the conduct of the drill are provided in the example of a Master Events List at Appendix 4. These would be introduced on schedule or on completion of the preceding event. Adjustments would be made to cater to the prevailing circumstances.

14. **Controller briefing**

a. The briefing to controllers will be conducted by the Chief Controller and should include the following:

- (1) Roles to be played by controllers.
- (2) Positions of controllers/vessel at the commencement of the drill.
- (3) Transport arrangements.
- (4) Suggested responses to questioning by security staff.
- (5) Safety measures.

b. Scenario

A terrorist group is planning an attack on the Port Facility. To prepare their plan, they have tasked one member of the group to conduct surveillance of the Port Facility in order to determine the best points for a sea borne attack.

c. Tasks

- (1) The mission of the observer is to video-tape key seaward installations and security arrangements at the Port Facility from the sea in order to plan an attack.
- (2) The Chief Controller will conduct the drill in accordance with the events listed in the Master Events List.
- (3) The Chief Controller should position himself at a suitable location to discreetly observe the proceedings.



15. Participant briefing

a. A briefing to participants should be scheduled if it is decided that the drill is to be announced (paragraph 11). The brief to participants should include the following:

- (1) Review of the previous drill, including the lessons learnt.
- (2) Objectives and scenario of the drill to be conducted.
- (3) The Port Facility's security instructions pertaining to the drill being conducted.
- (4) Update on the ISPS Code and/or local regulations.
- (5) Developments in maritime security (news, events, etc)

b. It should not include information or details of the controllers' plans for the drill.

16. Briefing Aids

Briefing slides and notes are provided in the accompanying PowerPoint files. With entries for the names, dates, locations, etc. these may be used to conduct the briefing to controllers and to participants.

17. Condition

The Port Facility is to proceed with its daily business as usual. No prior preparations on the part of the participants and/or security arrangements are required for the conduct of this drill.

18. Performance Measurement

a. Performance indicators should be established for this drill. Some may be dependent on the specific circumstances of the Port Facility. Ideally, performance indicators should be objective, but subjective ones may also be observed by the controllers, e.g. the degree of compliance with Port Facility security instructions.



- b. The following objective performance indicators are the target benchmark response times to be achieved for this drill:

FROM	TO	DURATION (minutes)
Appearance of the vessel off the seaward approaches to the Port Facility	Detection by security staff	x
Detection of photographer	Initiation of response	y

CONCLUDING THE DRILL

19. The drill shall be ended under the following circumstances:
- a. When the vessel is questioned by the security staff and departs.
 - or
 - b. If the vessel is not observed during the mission, then at a pre-determined time after the start of the task
 - or
 - c. Upon the Chief Controller's instruction.
20. **Debrief**
- a. Allow some time for the controllers and security staff to gather their thoughts on the events, in preparation for the debrief.
 - b. Assemble all participating security staff for debrief
 - c. The Chief Controller should conduct the debrief
 - d. Appoint a note-taker to record the salient points of the discussion and in particular the lessons learnt and any follow-up actions required. Guidance should be provided to the note-taker as to what is to be recorded.
 - e. Retrieve, review then delete all photographs that may have been taken by the photographer.



21. Reports

- a. Report the conduct of the drill to the management, either with a written report or verbally, as required by the management. An example of a report is provided at Appendix 5.
- b. If a written report is submitted, arrange for a briefing on the drill to be given at a management meeting to inform top management of the proceedings.

22. Records

An ISPS Drills and Exercises Record Book should be maintained by the Port Facility. The following is an example of an entry in the ISPS Drill and Exercises Record Book:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
<i>15/10/XX</i>	<i>Drill</i>	<i>Contiguous zone security</i>	<i>D213 - Person on vessel engaged in suspicious activity</i>	<i>PF/101/08-D213 dated xx/yy/zzzz</i>



D213 TIME-TABLE FOR PLANNING

DAYS TO DRILL	DATE	EVENT	CHECK
D -14	(calendar	Review the Guidelines	
D -14	dates to be	Confirm budget availability for items and/or services to be employed during the drill	
D -12	inserted)	Identify the drill control team	
D -10		Obtain management endorsement if it is required	
D -7		Refine or adjust the Master Events List if necessary	
D -5		Confirm the participants	
D -2		Brief the controllers and issue Letter of Identification, funds, etc.	
D day		Conduct the drill	
D day		Perform the debrief and record the lessons learnt	
D day		Record the conduct of the drill	
D +1		Prepare the written report on the drill	
D +2		Report the conduct of the drill to management	



CODE WORDS

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

CODE WORD	MEANING
Drill Start	The drill is to commence
Drill Suspend	The drill is temporarily suspended
Drill Go	The drill is to resume from where it was suspended
Drill Stop	The drill is to be terminated (prematurely)
Drill End	The drill is completed
For Exercise	The message or statement that follows this preamble relates to the drill only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the drill e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."



Port Facility

12 October XXXX

*The Security Officer
Port Facility*

LETTER OF IDENTIFICATION

This is to certify that *Mr. ABC* is a controller in a *Port Facility* maritime security drill being conducted on *17 October XXXX*. Please contact the undersigned and escort *Mr. ABC* to the Security Office.

signed
Mr. DEF
Port Facility Security Officer

**D213 MASTER EVENTS LIST**

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
<i>Date: 12 Oct XX</i>				
001	1600	<i>Controller briefing</i>		<i>Meeting point away from the Port Facility</i>
<i>Date: 17 Oct XX</i>				
002	0830	<i>Participant briefing*</i>		<i>Staff canteen</i>
003	0930	<i>Controllers final briefing</i>		<i>Meeting point away from the Port Facility convenient to transportation for the bogeyman</i>
004	1000	<i>Controllers at respective positions</i>		
005	1000	<i>Observer to embark vessel to the Port Facility</i>		<i>Vessel landing away from the Port Facility</i>
006	1030	<i>All security staff at respective positions</i>		<i>As appropriate</i>
007	1031	<i>Drill commences</i>		
008	1105	<i>Vessel to approach Port Facility from the sea</i>	<i>Port Facility staff or security staff should notice the vessel and challenge it</i>	<i>Off the main wharf</i>
009	1130	<i>Drill End</i>	<i>Dispersal of personnel</i>	
010	1430	<i>Debrief</i>	<i>Controllers and security staff to report findings and lessons learnt</i>	<i>Staff recreation room</i>
* Not required if the drill is to be conducted without prior notice to the participants				



REPORT ON THE CONDUCT OF SECURITY DRILL D213

Type of Drill	<i>Contiguous zone security - Personnel</i>
Drill Conducted	<i>Person on vessel engaged in suspicious activity</i>
General objective	<i>To impart a greater sense of awareness among employees, of the security threat to the Port Facility</i>
Date and time	<i>15 October XXXX at 1000 hrs</i>
Duration	<i>5 hrs</i>
Controllers	<i>Mr GHJ, Manager, Safety and Security – Chief controller Mr HYU, Observer</i>
Participants	<i>Security staff from Team 2 and Team 3 All participants were briefed on the conduct of this drill</i>
Significant events	<i>1. One person was engaged to conduct surveillance with a video camera from a vessel transiting the seaward approaches to the Port Facility. 2. Security staff noticed the intruding vessel near the main wharf, and dealt with it in accordance with Port Facility security procedures.</i> <i>Include photographs if relevant</i>



Lessons learnt	<p><i>1. Land-based security staff are not effective in dealing with observers on board a vessel transiting the sea area contiguous to the Port Facility.</i></p> <p><i>2. The security office must be equipped with a pair of binoculars to better observe vessels offshore.</i></p> <p>Include photographs if relevant</p>
Follow-up action	<p><i>1. PFSO will verify the contact numbers and persons to call in the local authority in the event of an actual surveillance attempt from the sea.</i></p> <p><i>2. PFSO will put up a proposal to purchase a pair of binoculars.</i></p> <p><i>3. PFSO will put up a proposal to consider the need for a vessel to be available to security staff to check on suspicious vessels spotted in the vicinity of the Port Facility.</i></p>
Performance indicators	<p><i>1. From Appearance of observer offshore at the Port Facility to Detection by security staff – x minutes.</i></p> <p><i>2. From Detection of observer to Deployment of response team – y minutes.</i></p>
Total cost	\$xxx



Drill	D214
Category	Contiguous zone security
Type	Vehicles and vessels
Subject	Vehicle loitering near the port facility
Security Level	1 and 2
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Vol I Part 1 – Guidelines for the Conduct of Maritime Security Drills 4. ISPS Code

INTRODUCTION

1. Security surveillance, and enforcement, where possible, must extend beyond the Port Facility's premises to the adjacent land and sea areas, or "contiguous zone" if it is to be comprehensive, and successful. This is to provide a surveillance buffer zone where potential suspicious persons and/or activities observed would provide a timely alert to security staff, so that when perimeter security is threatened, security personnel are ready for any eventuality to respond appropriately in accordance with the Port Facility's security instructions.

2. This drill involves a vehicle loitering outside and around the Port Facility, or parked near key installations within the premises, and the interception of the vehicle by security staff.

AIM OF THE DRILL

3. **General Objective**

To impart a greater sense of awareness among employees for security threat to the Port Facility.



4. **Specific Objectives**

- a. To raise the awareness among employees of the threat from vehicles loitering outside the Port Facility
- b. To practice security staff in the procedures for handling vehicles loitering outside the Port Facility premises without legitimate reason
- c. To practice suspicious vehicle identification and verification procedures.
- d. Meet or better the specified benchmark response times for this drill.

REQUIRED ATTAINMENTS

5. On completion of the drill, Port Facility employees and security staff will be able to:
 - a. Note unfamiliar vehicles parked outside the Port Facility in good time
 - b. Recognize suspicious activity by vehicles near the Port Facility
 - c. Interdict undesirable activity that may be detrimental to the Port Facility

PLANNING FOR THE DRILL

6. **Timetable**

The date for the conduct of this drill should be scheduled in the Port Facility's annual work program. Preparations for this drill should commence 2 weeks prior to the date of conduct. An example of a time-table for the preparation and conduct of this drill is given in Appendix 1

7. **Personnel**

- a. Control Team
 - (1) The Chief Controller may be the Port Facility Security Officer (PFSO) or a manager in charge of security matters. Where the first line response by security staff involves the PFSO, a manager should be considered for the appointment of Chief Controller. This will free the PFSO to respond to the situation as it develops during the drill.



(2) The Chief Controller is to arrange for a driver and vehicle to participate in the drill. They should not be familiar to Port Facility security staff.

b. Participants

The participants will be the Port Facility security staff.

c. Safety Officer

The appointment of a safety officer for this drill should be considered.

8. **Resources**

a. Communications

(1) **Equipment**

(a) Mobile phone: It is recommended that mobile phones should be the preferred means of communications between the Chief Controller and the controllers, subject to the availability of a cell phone network at the location of the Port Facility.

(b) Walkie-talkie: When using walkie-talkies, note that they have a short range and short battery life. They are usually bulky and may not be easily concealed, and they may be subject to interference if left switched on, leading to discovery at awkward moments.

(2) **Codewords**

Code words are used to provide brevity and clarity in communications during the conduct of a drill. A list of suggested code words is given in Appendix 2. The code words must be promulgated to all controllers and participants of the drill.

(3) **Security**

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



b. Other requirements

- (1) Location for the debrief
- (2) Refreshments e.g. during the debrief
- (3) Person to take notes during the debrief
- (4) Stationery for note-taking

9. **Safety**

a. Security staff activity in connection with this drill would be monitored by the Safety Officer, if one is appointed. The Safety Officer should station himself at a location where he would be:

- (1) Able to observe the majority of events
- (2) Near where potentially hazardous activity may take place
- (3) Accessible should he be required in a contingency

b. Controllers with roles as intruders or drivers, etc. should be issued with a letter of identification provided in Appendix 3 to forestall any undesirable action or behavior on the part of security staff toward them.

10. **Budget**

Funding may be needed for the following:

- a. Employment of “loiterers”.
- b. Transportation costs for the “loiterers”.
- c. Refreshments for the debrief.
- d. Reimbursement of expenses incurred by controllers or staff.

11. **Policy for disclosure**

a. The Chief Controller should decide if the drill is to be announced (i.e. participants such as security staff will be notified of the conduct of the drill) or the conduct of the drill will not be announced beforehand (i.e. the participants will not be informed of the conduct of the drill).

b. In deciding the mode, the following may be taken into consideration:

- (1) Security - Where it is assessed that confidentiality is uncertain or difficult to maintain, it is preferable to opt for an announced drill.
- (2) Organizational culture - Unannounced drills may be perceived as a test of the participants.



- (3) Ships at the Port Facility - Where it is anticipated that the drill may impact in any way on ships alongside, their crew, agents, suppliers or contractors, ships alongside should be notified in advance of the drill.

12. Management endorsement

The Chief Controller should seek approval from management for the conduct of the drill. Management should be informed of the drill prior to its conduct, even if formal approval is not required.

CONDUCTING THE DRILL

13. Master Events List

- a. A vehicle bomb need not be driven into the Port Facility for it to wreak havoc. In certain circumstances, an explosion of sufficient magnitude at close range may disable a key component of a Port Facility's infrastructure and cripple its operations. Port Facilities with key installations near to public access areas such as roads just beyond the security perimeter may be vulnerable to such a mode of attack.
- b. Security staffs are expected to notice the loiterers and attempt to interdict them in accordance with the Port Facility's security instructions.
- c. The "injects" (simulated events) for the conduct of the drill are provided in the example of a Master Events List at Appendix 4. These would be introduced on schedule or on completion of the preceding event. Adjustments would be made to cater to the prevailing circumstances.

14. Controller briefing

- a. The briefing to controllers will be conducted by the Chief Controller and should include the following:
 - (1) Roles to be played by controllers.
 - (2) Positions of controllers at the commencement of the drill.
 - (3) Transport arrangements.
 - (4) Suggested responses to questioning by security staff.
 - (5) Safety measures.



b. Scenario

A terrorist cell has decided to attack Port Facilities in the country in order to create public chaos and de-stabilize the economy. They planned to destroy a key installation at the Port Facility by a “vehicle bomb” parked near to the key installation, but outside the Port Facility to avoid problems with access into the premises.

c. Tasks

- (1) The mission of the driver is to loiter around the Port Facility with his “vehicle bomb”, and upon finding a sensitive location outside the Port Facility premises, park his vehicle. The driver will act as if his vehicle has broken down, open the bonnet, and remain in or around the vehicle.
- (2) A simulated dialogue between the “loiterers” and the Port Facility security staff is provided at Appendix 5. It is not meant as a script, but a guide to the possible interaction.
- (3) The Chief Controller will conduct the drill in accordance with the events listed in the Master Events List.
- (4) The Chief Controller should position himself at a suitable location to discreetly observe the proceedings.

15. **Participant briefing**

a. A briefing to participants should be scheduled if it is decided that the drill is to be announced (paragraph 11). The brief to participants should include the following:

- (1) Review of the previous drill, including the lessons learnt.
- (2) Objectives and scenario of the drill to be conducted.
- (3) The Port Facility’s security instructions pertaining to the drill being conducted.
- (4) Update on the ISPS Code and/or local regulations.
- (5) Developments in maritime security (news, events, etc).

b. It should not include information or details of the controllers’ plans for the drill.



16. Briefing Aids

Briefing slides and notes are provided in the accompanying PowerPoint files. With entries for the names, dates, locations, etc. these may be used to conduct the briefing to controllers and to participants.

17. Condition

The Port Facility is to proceed with its daily business as usual. No prior preparations on the part of the participants and/or security arrangements are required for the conduct of this drill.

18. Performance Measurement

a. Performance indicators should be established for this drill. Some may be dependent on the specific circumstances of the Port Facility. Ideally, performance indicators should be objective, but subjective ones may also be observed by the controllers, e.g. the degree of compliance with Port Facility security instructions.

b. The following objective performance indicators are the target benchmark response times to be achieved for this drill:

FROM	TO	DURATION (minutes)
Appearance of vehicle at Port Facility perimeter road	Detection by security staff	x
Detection of vehicle	Deployment of response team	y

CONCLUDING THE DRILL

19. The drill shall be ended under the following circumstances:

- a. When the driver is questioned by the security staff.
or
- b. If the vehicle is not observed during the mission, then at a pre-determined time after the start of the task
or
- c. Upon the Chief Controller's instruction.



20. Debrief

- a. Allow some time for the controllers and security staff to gather their thoughts on the events, in preparation for the debrief.
- b. Assemble all participating security staff for debrief
- c. The Chief Controller should conduct the debrief
- d. Appoint a note-taker to record the salient points of the discussion and in particular the lessons learnt and any follow-up actions required. Guidance should be provided to the note-taker as to what is to be recorded.

21. Reports

- a. Report the conduct of the drill to the management, either with a written report or verbally, as required by the management. An example of a report is provided at Appendix 6.
- b. If a written report is submitted, arrange for a briefing on the drill to be given at a management meeting to inform top management of the proceedings.

22. Records

An ISPS Drills and Exercises Record Book should be maintained by the Port Facility. The following is an example of an entry in the ISPS Drill and Exercises Record Book:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
<i>15/10/XX</i>	<i>Drill</i>	<i>Contiguous zone security</i>	<i>D221 - Vehicle loitering near the port facility</i>	<i>PF/101/08-D221 dated xx/yy/zzzz</i>



D221 TIME-TABLE FOR PLANNING

DAYS TO DRILL	DATE	EVENT	CHECK
D -14	(calendar	Review the Guidelines	
D -14	dates to be	Confirm budget availability for items and/or services to be employed during the drill	
D -12	inserted)	Identify the drill control team	
D -10		Obtain management endorsement if it is required	
D -7		Refine or adjust the Master Events List if necessary	
D -5		Confirm the participants	
D -2		Brief the controllers and issue Letter of Identification, funds, etc.	
D day		Conduct the drill	
D day		Perform the debrief and record the lessons learnt	
D day		Record the conduct of the drill	
D +1		Prepare the written report on the drill	
D +2		Report the conduct of the drill to management	



CODE WORDS

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

CODE WORD	MEANING
Drill Start	The drill is to commence
Drill Suspend	The drill is temporarily suspended
Drill Go	The drill is to resume from where it was suspended
Drill Stop	The drill is to be terminated (prematurely)
Drill End	The drill is completed
For Exercise	The message or statement that follows this preamble relates to the drill only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the drill e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."



Port Facility

12 October XXXX

*The Security Officer
Port Facility*

LETTER OF IDENTIFICATION

This is to certify that *Mr. ABC* is a controller in a *Port Facility* maritime security drill being conducted on *17 October XXXX*. Please contact the undersigned and escort *Mr. ABC* to the Security Office.

signed
Mr. DEF
Port Facility Security Officer

**D221 MASTER EVENTS LIST**

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
<i>Date: 12 Oct XX</i>				
001	1600	<i>Controller briefing</i>		<i>Meeting room in the Port Facility</i>
<i>Date: 17 Oct XX</i>				
002	0830	<i>Participant briefing*</i>		<i>Staff canteen</i>
003	0930	<i>Controllers final briefing</i>		<i>Meeting room in the Port Facility</i>
004	1000	<i>Controllers at respective positions</i>		<i>Chief Controller in a position to observe the proceedings</i>
005	1030	<i>All security staff at respective positions</i>		<i>As appropriate</i>
006	1031	<i>Drill commence</i>		
007	1105	<i>Vehicle to proceed to park on the public road, near the key installation</i>	<i>Port Facility security staff on routine patrol should notice the parked vehicle and take action</i>	<i>Public road</i>
008	1200	<i>Drill End</i>	<i>Dispersal of personnel</i>	
009	1430	<i>Debrief</i>	<i>Controllers and security staff to report findings and lessons learnt</i>	<i>Staff recreation room</i>

* Not required if the drill is to be conducted without prior notice to the participants

**D 221 - POSSIBLE DIALOGUE BETWEEN THE SECURITY STAFF AND THE INTRUDERS**

This dialogue serves as a guide to meet the simulation requirements of the drill. It is not meant as a script either for the security staff or the controller, but as a guide to the intent and content of the possible communication.

Security staff to Driver	<i>Who are you?</i>
Driver to Security staff	<i>I am a deliveryman</i>
Security staff to Driver	<i>What are you doing here?</i>
Driver to Security staff	<i>My vehicle has broken down</i>
Security staff to Driver	<i>This place is near a security area. May I have your cooperation to see what is in your vehicle?</i>
Driver to Security staff	<i>This is a public road. That is none of your business.</i>
Security staff to Driver	<i>If you do not allow us to check that your vehicle is not a threat to our security, we will have to call in the Police.</i>
Driver	(complies)

**REPORT ON THE CONDUCT OF SECURITY DRILL D221**

Type of Drill	<i>Contiguous zone security - Vehicles and vessels</i>
Drill Conducted	<i>Vehicle loitering near the port facility</i>
General objective	<i>To impart a greater sense of awareness among employees, of the security threat to the Port Facility</i>
Date and time	<i>15 October XXXX at 1000 hrs.</i>
Duration	<i>5 hrs</i>
Controllers	<i>Mr GHJ, Manager, Safety and Security – Chief controller Mr HYU, Driver</i>
Participants	<i>Security staff from Team 2 and Team 3 Participants were not briefed on the conduct of this drill</i>
Significant events	<i>1. A vehicle and driver was loaned by YHG Company for the drill, and parked outside the Port Facility on TRG Road near to the key installation. 2. Security staff on perimeter patrol noticed the vehicle within 10 minutes and the driver was questioned. The driver consented to an inspection of the vehicle's contents, and the vehicle was found to contain nothing incriminating. 3. Security staff manning the surveillance camera control room also noticed the vehicle at about the same time as the perimeter patrol.</i> <i>Include photographs if relevant</i>



Lessons learnt	<p><i>1. Security and other staff familiarity with persons and vehicles they see regularly both in and around the Port Facility can be an advantage in that anomalies (unfamiliar persons and vehicles) would be readily discernable.</i></p> <p>Include photographs if relevant</p>
Follow-up action	<p><i>1. All employees will be reminded to be alert to unfamiliar vehicles parked or loitering suspiciously outside the Port Facility premises and report these to security staff.</i></p>
Performance indicators	<p><i>1. From Appearance of vehicle at Port Facility perimeter road to Detection by security staff – x minutes</i></p> <p><i>2. From Detection of vehicle to Deployment of response team – y minutes</i></p>
Total cost	<p>\$xxx</p>



Drill	D215
Category	Contiguous zone security
Type	Vehicles and vessels
Subject	Vessel loitering offshore at the Port Facility
Security Level	1 and 2
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Vol I Part 1 – Guidelines for the Conduct of Maritime Security Drills 4. ISPS Code

INTRODUCTION

1. Security surveillance, and enforcement, where possible, must extend beyond the Port Facility's premises to the adjacent land and sea areas, or "contiguous zone" if it is to be comprehensive, and successful. This is to provide a surveillance buffer zone where potential suspicious persons and/or activities observed would provide a timely alert to security staff, so that when perimeter security is threatened, security personnel are ready for any eventuality to respond appropriately in accordance with the Port Facility's security instructions.
2. This drill involves a vessel loitering suspiciously offshore at the Port Facility, with no perceptible activity; and the response by security staff.

AIM OF THE DRILL

3. **General Objective**

To impart a greater sense of awareness among employees of the security threat to the Port Facility.



4. **Specific Objectives**

- a. To raise the awareness among employees of the security threat from the seaward approaches to the Port Facility.
- b. To practice suspicious vessel identification and verification procedures.
- c. To practice security staff in the procedures for handling vessels loitering near the Port Facility.
- d. Meet or better the specified benchmark response times for this drill.

REQUIRED ATTAINMENTS

5. On completion of the drill, Port Facility employees and security staff will be able to:
 - a. Detect vessels approaching the Port Facility from seaward.
 - b. Recognize undesirable or suspicious activity by vessels near the Port Facility.
 - c. Interdict undesirable activity that may be detrimental to the Port Facility.

PLANNING FOR THE DRILL

6. **Timetable**

The date for the conduct of this drill should be scheduled in the Port Facility's annual work program. Preparations for this drill should commence 2 weeks prior to the date of conduct. An example of a time-table for the preparation and conduct of this drill is given in Appendix 1

7. **Personnel**

- a. Control Team

- (1) The Chief Controller may be the Port Facility Security Officer (PFSO) or a manager in charge of security matters. Where the first line response by security staff involves the PFSO, a manager should be considered for the appointment of Chief Controller. This will free the PFSO to respond to the situation as it develops during the drill.



(2) The Chief Controller is to arrange for one vessel to approach, loiter off the Port Facility, and then depart. The vessel should not be familiar to Port Facility security staff.

b. Participants

The participants will be the Port Facility security staff.

c. Safety Officer

The appointment of a safety officer for this drill should be considered.

8. **Resources**

a. Communications

(1) **Equipment**

(a) Mobile phone: It is recommended that mobile phones should be the preferred means of communications between the Chief Controller and the controllers, subject to the availability of a cell phone network at the location of the Port Facility.

(b) Walkie-talkie: When using walkie-talkies, note that they have a short range and short battery life. They are usually bulky and may not be easily concealed, and they may be subject to interference if left switched on, leading to discovery at awkward moments.

(2) **Codewords**

Code words are used to provide brevity and clarity in communications during the conduct of a drill. A list of suggested code words is given in Appendix 2. The code words must be promulgated to all controllers and participants of the drill.

(3) **Security**

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



- b. Other requirements
 - (1) Location for the debrief
 - (2) Refreshments e.g. during the debrief
 - (3) Person to take notes during the debrief
 - (4) Stationery for note-taking
9. **Safety**
- a. Security staff activity in connection with this drill would be monitored by the Safety Officer, if one is appointed. The Safety Officer should station himself at a location where he would be:
 - (1) Able to observe the majority of events
 - (2) Near where potentially hazardous activity may take place
 - (3) Accessible should he be required in a contingency
 - b. Controllers with roles as intruders or drivers, etc. should be issued with a letter of identification provided in Appendix 3 to forestall any undesirable action or behavior on the part of security staff toward them.
10. **Budget**
- Funding may be needed for the following:
- a. Hire of a vessel with steersman.
 - b. Refreshments for the debrief.
 - c. Reimbursement of expenses incurred by controllers or staff.
11. **Policy for disclosure**
- a. The Chief Controller should decide if the drill is to be announced (i.e. participants such as security staff will be notified of the conduct of the drill) or the conduct of the drill will not be announced beforehand (i.e. the participants will not be informed of the conduct of the drill).
 - b. In deciding the mode, the following may be taken into consideration:
 - (1) Security - Where it is assessed that confidentiality is uncertain or difficult to maintain, it is preferable to opt for an announced drill.
 - (2) Organizational culture - Unannounced drills may be perceived as a test of the participants.
-



- c. This drill is likely to impact on ships alongside, or their crew, as the loitering vessel may be observed from on board, and therefore cause some concern. Ships should be notified in advance of the drill.

12. **Management endorsement**

The Chief Controller should seek approval from management for the conduct of the drill. Management should be informed of the drill prior to its conduct, even if formal approval is not required.

CONDUCTING THE DRILL

13. **Master Events List**

- a. This drill requires the vessel, such as a harbor launch or pleasure craft, to loiter offshore at the Port Facility, with little movement other than to maintain its position off the Port Facility and no perceptible activity on board.
- b. Security staffs are expected to notice the loitering vessel and attempt to interdict it or otherwise act in accordance with the Port Facility's security instructions.
- c. The "injects" (simulated events) for the conduct of the drill are provided in the example of a Master Events List at Appendix 4. These would be introduced on schedule or on completion of the preceding event. Adjustments would be made to cater to the prevailing circumstances.

14. **Controller briefing**

- a. The briefing to controllers will be conducted by the Chief Controller and should include the following:
 - (1) Roles to be played by controllers.
 - (2) Positions of vessel at the commencement and during the drill.
 - (3) Transport arrangements.
 - (4) Suggested responses to questioning by security staff.
 - (5) Safety measures.



b. Scenario

A terrorist group has decided to attack the Port Facility's critical underwater installations (e.g. fuel pipelines) using divers bearing limpet mines. They intend to cause the explosion as close as possible to the shore facilities so that the back blast will set the Port Facility ablaze. They will use a vessel to approach the Port Facility and two divers will enter the water when the vessel is drifting off the Port Facility. The vessel will loiter while the divers plant the limpet mines and return to the vessel (simulated). No surface activity will be discernible.

c. Tasks

- (1) The mission of the vessel is to proceed at very low speed to the Port Facility, loiter off the Port Facility, then depart slowly. No divers will be used in this drill.
- (2) The Chief Controller will conduct the drill in accordance with the events listed in the Master Events List.
- (4) The Chief Controller should position himself at a suitable location to discreetly observe the proceedings.

15. **Participant briefing**

a. A briefing to participants should be scheduled if it is decided that the drill is to be announced (paragraph 11). The brief to participants should include the following:

- (1) Review of the previous drill, including the lessons learnt.
- (2) Objectives and scenario of the drill to be conducted.
- (3) The Port Facility's security instructions pertaining to the drill being conducted.
- (4) Update on the ISPS Code and/or local regulations.
- (5) Developments in maritime security (news, events, etc)

b. It should not include information or details of the controllers' plans for the drill.



16. Briefing Aids

Briefing slides and notes are provided in the accompanying PowerPoint files. With entries for the names, dates, locations, etc. these may be used to conduct the briefing to controllers and to participants.

17. Condition

The Port Facility is to proceed with its daily business as usual. No prior preparations on the part of the participants and/or security arrangements are required for the conduct of this drill.

18. Performance Measurement

- a. Performance indicators should be established for this drill. Some may be dependent on the specific circumstances of the Port Facility. Ideally, performance indicators should be objective, but subjective ones may also be observed by the controllers, e.g. the degree of compliance with Port Facility security instructions.
- b. The following objective performance indicators are the target benchmark response times to be achieved for this drill:

FROM	TO	DURATION (minutes)
Appearance of the vessel off the seaward approaches to the Port Facility	Detection by security staff	x
Detection of vehicle	Deployment of response team	y

CONCLUDING THE DRILL

19. The drill shall be ended under the following circumstances:

- a. When the vessel is questioned by the security staff and departs.
or
- b. If the vessel is not observed during the mission, then at a pre-determined time after the start of the task
or
- c. Upon the Chief Controller's instruction.



20. Debrief

- a. Allow some time for the controllers and security staff to gather their thoughts on the events, in preparation for the debrief.
- b. Assemble all participating security staff for debrief
- c. The Chief Controller should conduct the debrief
- d. Appoint a note-taker to record the salient points of the discussion and in particular the lessons learnt and any follow-up actions required. Guidance should be provided to the note-taker as to what is to be recorded.

21. Reports

- a. Report the conduct of the drill to the management, either with a written report or verbally, as required by the management. An example of a report is provided at Appendix 5.
- b. If a written report is submitted, arrange for a briefing on the drill to be given at a management meeting to inform top management of the proceedings.

22. Records

An ISPS Drills and Exercises Record Book should be maintained by the Port Facility. The following is an example of an entry in the ISPS Drill and Exercises Record Book:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
<i>15/10/XX</i>	<i>Drill</i>	<i>Contiguous zone security</i>	<i>D222 - Vessel loitering offshore at the port facility</i>	<i>PF/101/08-D222 dated xx/yy/zzzz</i>



D222TIME-TABLE FOR PLANNING

DAYS TO DRILL	DATE	EVENT	CHECK
D -14	(calendar	Review the Guidelines	
D -14	dates to be	Confirm budget availability for items and/or services to be employed during the drill	
D -12	inserted)	Identify the drill control team	
D -10		Obtain management endorsement if it is required	
D -7		Refine or adjust the Master Events List if necessary	
D -5		Confirm the participants	
D -2		Brief the controllers and issue Letter of Identification, funds, etc.	
D day		Conduct the drill	
D day		Perform the debrief and record the lessons learnt	
D day		Record the conduct of the drill	
D +1		Prepare the written report on the drill	
D +2		Report the conduct of the drill to management	



CODE WORDS

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

CODE WORD	MEANING
Drill Start	The drill is to commence
Drill Suspend	The drill is temporarily suspended
Drill Go	The drill is to resume from where it was suspended
Drill Stop	The drill is to be terminated (prematurely)
Drill End	The drill is completed
For Exercise	The message or statement that follows this preamble relates to the drill only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the drill e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."



Port Facility

12 October XXXX

*The Security Officer
Port Facility*

LETTER OF IDENTIFICATION

This is to certify that *Mr. ABC* is a controller in a *Port Facility* maritime security drill being conducted on *17 October XXXX*. Please contact the undersigned and escort *Mr. ABC* to the Security Office.

signed
Mr. DEF
Port Facility Security Officer

**D222 MASTER EVENTS LIST**

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
<i>Date: 12 Oct XX</i>				
001	1600	<i>Controller briefing</i>		<i>Meeting point away from the Port Facility</i>
<i>Date: 17 Oct XX</i>				
002	1230	<i>Participant briefing*</i>		<i>Staff canteen</i>
003	1300	<i>Controllers final briefing</i>		<i>Meeting point away from the Port Facility if one convenient to the jetty where the vessel is berthed is available. Alternatively, the final briefing may be done by telephone</i>
004	1330	<i>Controllers at respective positions</i>		
005	1430	<i>All security staff at respective positions</i>		<i>As appropriate</i>
006	1431	<i>Drill commence</i>		
007	1500	<i>Vessel to approach Port Facility from the sea</i>	<i>Port Facility staff or security staff should notice the vessel and challenge it</i>	<i>Offshore near the Port Facility</i>
008	1530	<i>Drill End</i>	<i>Dispersal of personnel</i>	
009	1630	<i>Debrief</i>	<i>Controllers and security staff to report findings and lessons learnt</i>	<i>Staff recreation room</i>
<i>* Not required if the drill is to be conducted without prior notice to the participants</i>				

**REPORT ON THE CONDUCT OF SECURITY DRILL D222**

Type of Drill	<i>Contiguous zone security - Vehicles and vessels</i>
Drill Conducted	<i>Vessel loitering offshore at the port facility</i>
General objective	<i>To impart a greater sense of awareness among employees, of the security threat to the Port Facility</i>
Date and time	<i>15 October 2008 at 1 p.m.</i>
Duration	<i>5 hrs</i>
Controllers	<i>Mr GHJ, Manager, Safety and Security – Chief controller Mr HYU, Steersman</i>
Participants	<i>Security staff from Team 2 and Team 3 All participants were briefed on the conduct of this drill</i>
Significant events	<i>1. A vessel was chartered to conduct surveillance of the seaward infrastructure at the Port Facility. 2. Mr. GHT, the pump room supervisor, noticed the vessel approaching and alerted security staff even before it arrived. Security staff directed the vessel to clear away from the area, and the vessel complied after about 30 minutes loitering offshore. 3. Port Facility security instructions specify the use of the berthing crew boat to embark security staff to check on intruding vessels, but the boat crew was not available as there were no ship movements that day.</i> <i>Include photographs if relevant</i>



Lessons learnt	<p><i>1. Land-based security staffs were not able to do much more than caution the vessel via loudhailer and simulate reporting the vessel to the port authority.</i></p> <p><i>2. The berthing crew boat is not always available to respond to intruding vessels.</i></p> <p>Include photographs if relevant</p>
Follow-up action	<p><i>1. PFSO will check with the local port authority how long it will take for a Police patrol with legal powers of arrest to get to the Port Facility.</i></p> <p><i>2. PFSO will put up a proposal to consider the need for a crew of the berthing boat to be available at all times for security staff to check on suspicious vessels spotted in the vicinity of the Port Facility.</i></p>
Performance indicators	<p><i>1. From Appearance of vessel offshore at the Port Facility to Detection by security staff – x minutes.</i></p> <p><i>2. From Detection by security staff to Deployment of response team – y minutes.</i></p>
Total cost	\$xxx



Section 3

Materials Handling

A wide range of goods enter and leave a Port Facility, from liquid cargo to cargo in TEUs, baggage, mail, ships' stores, equipment, contractors' materials and personal items. While most will be normal goods and cargo, some may pose a security risk, and security staff must be alert to all items that may be of special security concern, regardless of their origin, conveyance, or destination. Goods delivered to a Port Facility must undergo several security checks, or "screening", which should be performed by the Port Facility efficiently in order to expedite the cargo handling process. Speed should not over-ride security and accuracy in consignment, however, and Port Facility security staffs are expected to verify cargo documents conscientiously. Port Facility procedures would reasonably require such deliveries to be accompanied by appropriate documentation, which will allow the cargos to be checked against the declarations and further verification as needed.

DRILL	TITLE
	Personal effects, parcels and mail
D311	Suspicious parcel/envelope
D312	Suspicious substances
D313	Suspicious items
	Cargo
D321	Vehicle delivering cargo without proper documents
D322	Cargo without proper seals
D323	Discovery of unauthorized cargo on board a ship alongside
	Ship's stores
D331	Vehicle delivering ship stores without proper documents
D332	Delivery of ship stores without prior notice
D333	Unauthorized item found in vehicle delivering ship stores
D334	Unauthorized loading / unloading of cargo / ship stores in a Restricted Area
	Unaccompanied baggage
D341	Unaccompanied baggage found in the Port Facility
D342	Unattended baggage found within a Restricted Area
D343	Vehicle carrying unaccompanied baggage seeking entry to the Port Facility



Drill	D311
Category	Materials Handling
Type	Personal effects, parcels and mail
Subject	Suspicious parcel/envelope
Security Level	1 and 2
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Vol I Part 1 – Guidelines for the Conduct of Maritime Security Drills 4. ISPS Code

INTRODUCTION

1. A wide range of goods enter and leave a Port Facility, from liquid cargo to cargo in TEUs, baggage, mail, ships' stores, contractors' materials and personal items. While most will be normal cargo, some may pose a security risk, and security staff must be alert to all items that may be of special security concern, regardless of their origin, conveyance, or destination. The screening of items brought into the Port Facility must be performed with care, and with all means available, including X-ray machines if possible.

2. This drill features two separate attempts to deliver simulated parcel and letter bombs to the Port Facility. This drill will check security staff diligence in their routine screening of parcels, mail and personal effects.

AIM OF THE DRILL

3. **General Objective**

To practice port security staff in the screening of items being brought into the Port Facility.



4. **Specific Objectives**

- a. To test the vigilance of security staff in screening deliveries.
- b. To practice security staff in the conduct of checks on parcels and mail entering the Port Facility
- c. To enhance the security awareness of threats to the Port Facility
- d. Meet or better the specified compliance benchmark for this drill.

REQUIRED ATTAINMENTS

5. On completion of the drill, Port Facility security staff will be able to:
 - a. Apply the procedures in the Port Facility security instructions for the screening of items being delivered to the Port Facility
 - b. Detect suspicious parcels or mail from among others in the delivery.
 - c. Take the appropriate action on suspicious items.

PLANNING FOR THE DRILL

6. **Timetable**

The date for the conduct of this drill should be scheduled in the Port Facility's annual work program. Preparations for this drill should commence 2 weeks prior to the date of conduct. An example of a time-table for the preparation and conduct of this drill is given in Appendix 1.

7. **Personnel**

- a. Control Team
 - (1) The Chief Controller may be the Port Facility Security Officer (PFSO) or a manager in charge of security matters. Where the first line response by security staff involves the PFSO, a manager should be considered for the appointment of Chief Controller. This will free the PFSO to respond to the situation as it develops during the drill.



(2) The Chief Controller should arrange for two delivery personnel to participate as controllers.

b. Participants

The participants will be the Port Facility security staff.

c. Safety Officer

The appointment of a safety officer for this drill should be considered.

8. **Resources**

a. Equipment

(1) “Letter bomb”: A4-sized envelope containing a AAA-battery, electrical wiring, a used marker pen with a slim aluminum body cut to a length of about 6cm (simulating a detonator) and a suitably-thick wad of newspapers (simulating a slab of explosives). For greater effect, the batteries can be linked by the wires to the marker pen. The envelope should be addressed in rough handwriting to “The General (sic) Manager, ABC (Port Facility name)”. The envelope should be placed in a mail delivery bag with other letters of various envelope sizes.

(2) “Mail”: Other letters of various sizes to be placed in a mailbag along with the “letter bomb”. These letters may be collected unopened from the previous day’s junk mail to the Port Facility.

(3) “Parcel bomb”: Shoe-box sized parcel containing a battery, electrical wiring, a used marker pen with a slim aluminum body cut to a length of about 6cm (simulating a detonator), and a bag of sand. For better effect, the batteries can be linked by the wires to the marker pen. The box should be wrapped in plain brown paper and marked “XYZ (manufacturer name) machinery spare parts”. The parcel should be addressed to the Port Facility, and placed in a large carton. The address should not be specific.

(4) “Machinery spares”: Two or three other smaller parcels of various sizes containing miscellaneous items, to add to the carton in 8.a.(3) above.

(5) Forged documentation to support the delivery of the spares to the Port Facility.



b. Vehicles

The appropriate delivery vehicles should be employed. Arrangements may be made with the normal mail delivery to include the controller and/or the mail bag in the mail delivery, and with a supplier or contractor to participate in the drill with a consignment of goods.

c. Communications

(1) **Equipment**

(a) Mobile phone: It is recommended that mobile phones should be the preferred means of communications between the Chief Controller and the controllers, subject to the availability of a cell phone network at the location of the Port Facility.

(b) Walkie-talkie: When using walkie-talkies, note that they have a short range and short battery life. They are usually bulky and may not be easily concealed, and they may be subject to interference if left switched on, leading to discovery at awkward moments.

(2) **Codewords**

Code words are used to provide brevity and clarity in communications during the conduct of a drill. A list of suggested code words is given in Appendix 2. The code words must be promulgated to all controllers and participants of the drill.

(3) **Security**

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

e. Other requirements

- (1) Location for the debrief
- (2) Refreshments e.g. during the debrief
- (3) Person to take notes during the debrief
- (4) Stationery for note-taking



9. Safety

a. Security staff activity in connection with this drill would be monitored by the Safety Officer, if one is appointed. The Safety Officer should station himself at a location where he would be

- (1) Able to observe the majority of events
- (2) Near where potentially hazardous activity may take place
- (3) Accessible should he be required in a contingency

b. Controllers with roles as intruders or drivers, etc. should be issued with a letter of identification provided in Appendix 3 to forestall any undesirable action or behavior on the part of security staff toward them.

10. Budget

Funding may be needed for the following:

- a. Employment of deliverymen and vehicles.
- b. Materials to make simulated parcel and letter “bombs”.
- c. Refreshments for the debrief.
- d. Reimbursement of expenses incurred by controllers or staff.

11. Policy for disclosure

a. The Chief Controller should decide if the drill is to be announced (i.e. participants such as security staff will be notified of the conduct of the drill) or the conduct of the drill will not be announced beforehand (i.e. the participants will not be informed of the conduct of the drill).

b. In deciding the mode, the following may be taken into consideration:

- (1) Security - Where it is assessed that confidentiality is uncertain or difficult to maintain, it is preferable to opt for an announced drill.
- (2) Organizational culture - Unannounced drills may be perceived as a test of the participants.
- (3) Ships at the Port Facility - Where it is anticipated that the drill may impact in any way on ships alongside, their crew, agents, suppliers or contractors, ships alongside should be notified in advance of the drill.



12. Management endorsement

The Chief Controller should seek approval from management for the conduct of the drill. Management should be informed of the drill prior to its conduct, even if formal approval is not required.

CONDUCTING THE DRILL

13. Master Events List

- a. This drill begins with the delivery of mail to the Port Facility by a controller acting as a mailman (or the actual mailman participating in the drill to deliver the “For Exercise” mailbag). The mailbag will include the simulated “letter bomb”. Security staffs are expected to screen items entering the Port Facility, and act upon the discovery of the suspicious items in accordance with the Port Facility’s security instructions.
- b. The second event will be the delivery of machinery spares. A simulated “parcel bomb” will be included in the consignment. As with the mail delivery, security staffs are expected to screen the delivery.
- c. These are to be treated as two independent and separate events.
- d. The “injects” (simulated events) for the conduct of the drill are provided in the example of a Master Events List at Appendix 4. These would be introduced on schedule or on completion of the preceding event. Adjustments would be made to cater to the prevailing circumstances.

14. Controller briefing

- a. The briefing to controllers will be conducted by the Chief Controller and should include the following:
 - (1) Roles to be played by controllers.
 - (2) Positions of controllers at the commencement of the drill.
 - (3) Transport arrangements.
 - (4) Suggested responses to questioning by security staff.
 - (5) Safety measures.



b. Scenario

A terrorist cell is targeting transportation in the country, and is taking every opportunity to cause disruption to business in the hopes of causing a loss of confidence in the government. The cell has decided that they will try to mount an attack on a Port Facility's key business processes. They will deliver a letter bomb and a parcel bomb to disrupt both the administration as well as the Port Facility's operations.

c. Tasks

(1) Mail delivery - The mail delivery should comply with normal Port Facility procedures to gain entry to the Facility. The "mailman" should facilitate inspection and screening of the contents of the bag so that the security staffs detect the "letter bomb".

(2) Machinery spares delivery – A carton of simulated machinery spares will be delivered to the Port Facility, supposedly from a supplier. Included in the carton will be a parcel containing a simulated "parcel bomb". The driver is to seek permission to enter the Port facility using forged documentation to support the delivery to the Port Facility's machine workshop.

(3) The Chief Controller will conduct the drill in accordance with the events listed in the Master Events List.

(4) The Chief Controller should position himself at a suitable location to discreetly observe the proceedings.

15. **Participant briefing**

a. A briefing to participants should be scheduled if it is decided that the drill is to be announced (paragraph 11). The brief to participants should include the following:

(1) Review of the previous drill, including the lessons learnt.

(2) Objectives and scenario of the drill to be conducted.

(3) The Port Facility's security instructions pertaining to the drill being conducted.



- (4) Update on the ISPS Code and/or local regulations.
 - (5) Developments in maritime security (news, events, etc).
- b. It should not include information or details of the controllers' plans for the drill.

16. **Briefing Aids**

Briefing slides and notes are provided in the accompanying PowerPoint files. With entries for the names, dates, locations, etc. these may be used to conduct the briefing to controllers and to participants.

17. **Condition**

The Port Facility is to proceed with its daily business as usual. No prior preparations on the part of the security staff and/or security arrangements are required for the conduct of this drill.

18. **Performance Measurement**

Performance indicators should be established for this drill. Some may be dependent on the specific circumstances of the Port Facility. Ideally, performance indicators should be objective, but subjective ones may also be observed by the controllers, e.g. the degree of compliance with Port Facility security instructions.

CONCLUDING THE DRILL

19. The drill shall be ended under the following circumstances:
- a. When the mail and/or spares delivery has successfully entered the Port Facility premises.
or
 - b. When the mail and/or spares delivery is stopped at the gate by Port Facility security staff and the simulated "bombs" are discovered.
or
 - c. Upon the Chief Controller's instruction.



20. Debrief

- a. Allow some time for the controllers and security staff to gather their thoughts on the events, in preparation for the debrief.
- b. Assemble all participating security staff for debrief.
- c. The Chief Controller should conduct the debrief.
- d. Appoint a note-taker to record the salient points of the discussion and in particular the lessons learnt and any follow-up actions required. Guidance should be provided to the note-taker as to what is to be recorded.

21. Reports

- a. Report the conduct of the drill to the management, either with a written report or verbally, as required by the management. An example of a report is provided at Appendix 5.
- b. If a written report is submitted, arrange for a briefing on the drill to be given at a management meeting to inform top management of the proceedings.

22. Records

An ISPS Drills and Exercises Record Book should be maintained by the Port Facility. The following is an example of an entry in the ISPS Drill and Exercises Record Book:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
<i>15/10/XX</i>	<i>Drill</i>	<i>Materials handling - Personal effects, parcels and mail</i>	<i>D311 - Suspicious parcel/envelope</i>	<i>PF/101/08-D311 dated xx/yy/zzzz</i>



D311 TIME-TABLE FOR PLANNING

DAYS TO DRILL	DATE	EVENT	CHECK
D -14	(calendar	Review the Guidelines	
D -14	dates to be	Confirm budget availability for items and/or services to be employed during the drill	
D -12	inserted)	Identify the drill control team	
D -10		Obtain management endorsement if it is required	
D -7		Refine or adjust the Master Events List if necessary	
D -5		Confirm the participants	
D -2		Brief the controllers and issue Letter of Identification, funds, etc.	
D day		Conduct the drill	
D day		Perform the debrief and record the lessons learnt	
D day		Record the conduct of the drill	
D +1		Prepare the written report on the drill	
D +2		Report the conduct of the drill to management	



CODE WORDS

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

CODE WORD	MEANING
Drill Start	The drill is to commence
Drill Suspend	The drill is temporarily suspended
Drill Go	The drill is to resume from where it was suspended
Drill Stop	The drill is to be terminated (prematurely)
Drill End	The drill is completed
For Exercise	The message or statement that follows this preamble relates to the drill only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the drill e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."



Port Facility

12 October XXXX

*The Security Officer
Port Facility*

LETTER OF IDENTIFICATION

This is to certify that *Mr. ABC* is a controller in a *Port Facility* maritime security drill being conducted on *17 October XXXX*. Please contact the undersigned and escort *Mr. ABC* to the Security Office.

signed
Mr. DEF
Port Facility Security Officer

**D311 MASTER EVENTS LIST**

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
<i>Date: 12 Oct XX</i>				
001	1600	<i>Controller briefing</i>		<i>Meeting point away from the Port Facility</i>
<i>Date: 17 Oct XX</i>				
002	0830	<i>Participant briefing*</i>		<i>Staff canteen</i>
003	0930	<i>Controllers final briefing</i>		<i>Meeting point away from the Port Facility</i>
004	1000	<i>Controllers at respective positions</i>		<i>Chief Controller at Port Facility vehicle entrance</i>
005	1030	<i>All security staff at respective positions</i>		<i>As appropriate</i>
006	1031	<i>Drill commence</i>		
007	1105	<i>Deliveryman 1 to proceed to the Port Facility</i>	<i>Port Facility security staff should screen the parcels and be able to recognize the suspicious nature of the parcels</i>	<i>Port Facility entrance</i>
008	1410	<i>Deliveryman 2 to proceed to the Port Facility</i>	<i>Port Facility security staff should screen the mail and be able to recognize the suspicious nature of the simulated "letter-bomb"</i>	<i>Port Facility entrance</i>
009	1500	<i>Drill End</i>	<i>Dispersal of personnel</i>	
010	1530	<i>Debrief</i>	<i>Controllers and security staff to report findings and lessons learnt</i>	<i>Staff recreation room</i>
* Not required if the drill is to be conducted without prior notice to the participants				

**REPORT ON THE CONDUCT OF SECURITY DRILL D311**

Type of Drill	<i>Materials handling - Personal effects, parcels and mail</i>
Drill Conducted	<i>Suspicious parcel/envelope</i>
General objective	<i>To practice port security staff in the screening of items being delivered to the Port Facility.</i>
Date and time	<i>15 October 2008 at 9.45 a.m.</i>
Duration	<i>5 hrs</i>
Controllers	<i>Mr GHJ, Manager, Safety and Security – Chief controller Mr YHU, Deliveryman 1 Mr KMJ, Deliveryman 2</i>
Participants	<i>Security staff from Team 2 and Team 3 All participants were briefed on the conduct of this drill</i>
Significant events	<i>1. Two deliverymen were tasked to attempt to deliver simulated parcel and letter bombs into the Port Facility premises. 2. The mailman carried a mailbag with letters for delivery to the Port Facility administration office. Security staff were suspicious because the deliveryman could not explain why the regular mail van was not used. Security staff found one envelope poorly addressed. Security staff simulated a call to the local authority (Police) for assistance with a suspected letter bomb, and clearance of personnel from the security office where the parcels were screened. The mailman was “detained”.</i>



Significant events	<p><i>3. The machinery spares were delivered in a carton to the Port Facility security office for screening. Security staff were suspicious when the parcels were found to be poorly addressed and not professionally packaged. One was opened and found to contain old machine parts. Security staff simulated a call to the local authority (Police) for assistance with a suspected parcel bomb, and clearance of personnel from the security office where the parcels were screened. The spares deliveryman was “detained”.</i></p> <p>Include photographs if relevant</p>
Lessons learnt	<p><i>1. Security staff acted correctly on their suspicions about the deliverymen, based on their behavior, and upon screening, the badly packaged parcels and letter “bombs”.</i></p> <p><i>2. Security staff acted correctly to clear the area of personnel and call in the Police when the suspected parcel and letter “bombs” were found.</i></p> <p>Include photographs if relevant</p>
Follow-up action	<p><i>1. All employees will be reminded to be alert to abnormal dress, behavior or items that may constitute a maritime security threat.</i></p> <p><i>2. These reminders will be included in Security Circulars to be initiated for Notice Boards and in weekly emails.</i></p>
Performance indicators	<p><i>1. Detection rate – 1/2</i></p> <p><i>2. The degree of compliance with Port Facility security instructions in handling:</i></p> <ul style="list-style-type: none"><i>a. Mailman – x%</i><i>b. Spares delivery – y%</i>
Total cost	<p>\$xxx</p>



Drill	D312
Category	Materials Handling
Type	Personal effects, parcels and mail
Subject	Suspicious substances
Security Level	1 and 2
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Vol I Part 1 – Guidelines for the Conduct of Maritime Security Drills 4. ISPS Code

INTRODUCTION

1. A wide range of goods enter and leave a Port Facility, from liquid cargo to cargo in TEUs, baggage, mail, ships' stores, contractors' materials and personal items. While most will be normal cargo, some may pose a security risk, and security staff must be alert to all items that may be of special security concern, regardless of their origin, conveyance, or destination.

2. This drill features the attempted coordinated transport of suspicious substances into the Port Facility in order to "attack" a ship alongside. A delivery of mail with a suspicious substance in it will act as a distraction to facilitate the transport of petrol bombs into the Port Facility. This drill will check security staff diligence in their routine screening of parcels, mail and personal effects.

AIM OF THE DRILL

3. **General Objective**

To practice port security staff in the screening of items being brought into the Port Facility.



4. **Specific Objectives**

- a. To test the vigilance of security staff in screening deliveries.
- b. To practice security staff in the conduct of checks on items and mail entering the Port Facility
- c. To enhance the security awareness of threats to the Port Facility
- d. Meet or better the specified compliance benchmark for this drill.

REQUIRED ATTAINMENTS

5. On completion of the drill, Port Facility security staff will be able to:
 - a. Apply the procedures in the Port Facility security instructions for the screening of items being brought into the Port Facility
 - b. Detect suspicious substances among items being delivered to the Port Facility
 - c. Take the appropriate action on suspicious items.

PLANNING FOR THE DRILL

6. **Timetable**

The date for the conduct of this drill should be scheduled in the Port Facility's annual work program. Preparations for this drill should commence 2 weeks prior to the date of conduct. An example of a time-table for the preparation and conduct of this drill is given in Appendix 1.

7. **Personnel**

- a. Control Team
 - (1) The Chief Controller may be the Port Facility Security Officer (PFSO) or a manager in charge of security matters. Where the first line response by security staff involves the PFSO, a manager should be considered for the appointment of Chief Controller. This will free the PFSO to respond to the situation as it develops during the drill.



(2) The Chief Controller should arrange for two delivery personnel to participate as controllers.

b. Participants

The participants will be the Port Facility security staff.

c. Safety Officer

The appointment of a safety officer for this drill should be considered.

8. **Resources**

a. Equipment

(1) Mail bag with various letters of different sizes and containing an envelope with a white powder (baking flour may be used) which has split open slightly and spilled its contents in the mail bag.

(2) Paint cans and glass bottles of simulated “petrol” (to be turned into petrol bombs) marked as paint solvents. The number of bottles of “solvent” should be well in excess of the normal requirement for a paint job represented by the number of cans of paint being brought in e.g. if 10 cans of paint are used for the drill, then 20 bottles of “solvent” should be included in the delivery. For the purposes of this drill, the bottles should be clearly marked “SOLVENT - PETROL”. For safety reasons, they should contain a harmless liquid. Simulated “forged” delivery documentation should be provided to the driver.

b. Vehicles

The appropriate delivery vehicles should be employed. Arrangements may be made with the normal mail delivery to include the controller and/or the mail bag in the mail delivery, and with a supplier or contractor to participate in the drill with a consignment of paint.

c. Communications

(1) **Equipment**

(a) Mobile phone: It is recommended that mobile phones should be the preferred means of communications between the Chief Controller and the controllers, subject to the availability of a cell phone network at the location of the Port Facility.



(b) Walkie-talkie: When using walkie-talkies, note that they have a short range and short battery life. They are usually bulky and may not be easily concealed, and they may be subject to interference if left switched on, leading to discovery at awkward moments.

(2) **Codewords**

Code words are used to provide brevity and clarity in communications during the conduct of a drill. A list of suggested code words is given in Appendix 2. The code words must be promulgated to all controllers and participants of the drill.

(3) **Security**

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

e. Other requirements

- (1) Location for the debrief
- (2) Refreshments e.g. during the debrief
- (3) Person to take notes during the debrief
- (4) Stationery for note-taking

9. **Safety**

a. Security staff activity in connection with this drill would be monitored by the Safety Officer, if one is appointed. The Safety Officer should station himself at a location where he would be

- (1) Able to observe the majority of events
- (2) Near where potentially hazardous activity may take place
- (3) Accessible should he be required in a contingency

b. Controllers with roles as intruders or drivers, etc. should be issued with a letter of identification provided in Appendix 2 to forestall any undesirable action or behavior on the part of security staff toward them.



10. **Budget**

Funding may be needed for the following:

- a. Employment of deliverymen and vehicles.
- b. Loan of new paint and solvent cans.
- c. Materials to make simulated petrol “bombs”.
- d. Materials to make the letter containing simulated chemical powder.
- e. Refreshments for the debrief.
- f. Reimbursement of expenses incurred by controllers or staff.

11. **Policy for disclosure**

- a. The Chief Controller should decide if the drill is to be announced (i.e. participants such as security staff will be notified of the conduct of the drill) or the conduct of the drill will not be announced beforehand (i.e. the participants will not be informed of the conduct of the drill).
- b. In deciding the mode, the following may be taken into consideration:
 - (1) Security - Where it is assessed that confidentiality is uncertain or difficult to maintain, it is preferable to opt for an announced drill.
 - (2) Organizational culture - Unannounced drills may be perceived as a test of the participants.
 - (3) Ships at the Port Facility - Where it is anticipated that the drill may impact in any way on ships alongside, their crew, agents, suppliers or contractors, ships alongside should be notified in advance of the drill.

12. **Management endorsement**

The Chief Controller should seek approval from management for the conduct of the drill. Management should be informed of the drill prior to its conduct, even if formal approval is not required.

CONDUCTING THE DRILL

13. **Master Events List**

- a. This drill begins with the delivery of mail to the Port Facility by a controller acting as a mailman (or the actual mailman participating in the drill to deliver the “For Exercise” mailbag). The mailbag will include a letter with a white



powdery substance in it. The envelope of this letter will have been “accidentally” opened slightly to allow some of the white powdery substance to spill into the mailbag. It is expected that the security staff will deem this delivery suspicious and attend to it accordingly. While they are thus distracted, another delivery will take place of a consignment of paint and paint solvents. The solvents will be simulated “petrol bombs”. Security staffs are expected to screen items entering the Port Facility, and act upon the discovery of the suspicious items in accordance with the Port Facility’s security instructions.

b. The “injects” (simulated events) for the conduct of the drill are provided in the example of a Master Events List at Appendix 4. These would be introduced on schedule or on completion of the preceding event. Adjustments would be made to cater to the prevailing circumstances.

14. **Controller briefing**

a. The briefing to controllers will be conducted by the Chief Controller and should include the following:

- (1) Roles to be played by controllers.
- (2) Positions of controllers at the commencement of the drill.
- (3) Transport arrangements.
- (4) Suggested responses to questioning by security staff.
- (5) Safety measures.

b. Scenario

A terrorist cell is targeting transportation in the country, and is taking every opportunity to cause disruption to business in the hopes of causing a loss of confidence in the government. The cell has decided that they will try to attack a ship alongside at one of the Port Facilities by sending an operative to set it on fire by hurling petrol bombs at it. In order to improve their chances of success of getting past security, they will create a diversion by putting a powdery substance in a letter to the Port Facility in the expectation that the substance will be found and treated as dangerous. When the security staff are thus distracted, a bogus delivery of paints will take place. In addition to paint cans, the delivery vehicle will contain a significant amount of petrol in bottles to be used as petrol bombs.

c. Tasks

- (1) Mail delivery - The mail delivery should comply with normal Port Facility procedures to gain entry to the Facility. The “mailman” should facilitate inspection of the contents of the bag so that the security staffs detect the white powdery substance spilled from the envelope. If the white



powdery substance is not detected by security staff, some innocent method, such as shaking the mail bag, should be initiated to draw attention to the suspicious powder, short of actually declaring it.

(2) Paint delivery - When it is assessed that the security staffs are suitably distracted by the white powder, the delivery of the paint and solvent will be attempted. The paint delivery vehicle driver should be waiting near the Port Facility entrance for a signal from the “mailman” to make his entrance. This may be in the form of a text message or any other means of signaling. The driver is to seek permission to enter the Port facility using forged documentation to support the delivery to a ship alongside.

(3) The Chief Controller will conduct the drill in accordance with the events listed in the Master Events List.

(4) The Chief Controller should position himself at a suitable location to discreetly observe the proceedings.

15. Participant briefing

a. A briefing to participants should be scheduled if it is decided that the drill is to be announced (paragraph 11). The brief to participants should include the following:

- (1) Review of the previous drill, including the lessons learnt.
- (2) Objectives and scenario of the drill to be conducted.
- (3) The Port Facility’s security instructions pertaining to the drill being conducted.
- (4) Update on the ISPS Code and/or local regulations.
- (5) Developments in maritime security (news, events, etc).

b. It should not include information or details of the controllers’ plans for the drill.

16. Briefing Aids

Briefing slides and notes are provided in the accompanying PowerPoint files. With entries for the names, dates, locations, etc. these may be used to conduct the briefing to controllers and to participants.



17. Condition

The Port Facility is to proceed with its daily business as usual. No prior preparations on the part of the security staff and/or security arrangements are required for the conduct of this drill.

18. Performance Measurement

Performance indicators should be established for this drill. Some may be dependent on the specific circumstances of the Port Facility. Ideally, performance indicators should be objective, but subjective ones may also be observed by the controllers, e.g. the degree of compliance with Port Facility security instructions.

CONCLUDING THE DRILL

19. The drill shall be ended under the following circumstances:

- a. When the paint delivery has successfully entered the Port Facility premises.
- or
- b. When the paint delivery is stopped at the gate by Port Facility security staff and the “petrol bombs” are discovered.
- or
- c. Upon the Chief Controller’s instruction.

20. Debrief

- a. Allow some time for the controllers and security staff to gather their thoughts on the events, in preparation for the debrief.
- b. Assemble all participating security staff for debrief.
- c. The Chief Controller should conduct the debrief.
- d. Appoint a note-taker to record the salient points of the discussion and in particular the lessons learnt and any follow-up actions required. Guidance should be provided to the note-taker as to what is to be recorded.



21. Reports

a. Report the conduct of the drill to the management, either with a written report or verbally, as required by the management. An example of a report is provided at Appendix 6.

b. If a written report is submitted, arrange for a briefing on the drill to be given at a management meeting to inform top management of the proceedings.

22. Records

An ISPS Drills and Exercises Record Book should be maintained by the Port Facility. The following is an example of an entry in the ISPS Drill and Exercises Record Book:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
<i>15/10/XX</i>	<i>Drill</i>	<i>Materials handling - Personal effects, parcels and mail</i>	<i>D312 - Suspicious substances</i>	<i>PF/101/08-D312 dated xx/yy/yyyy</i>



D312 TIME-TABLE FOR PLANNING

DAYS TO DRILL	DATE	EVENT	CHECK
D -14	(calendar	Review the Guidelines	
D -14	dates to be	Confirm budget availability for items and/or services to be employed during the drill	
D -12	inserted)	Identify the drill control team	
D -10		Obtain management endorsement if it is required	
D -7		Refine or adjust the Master Events List if necessary	
D -5		Confirm the participants	
D -2		Brief the controllers and issue Letter of Identification, funds, etc.	
D day		Conduct the drill	
D day		Perform the debrief and record the lessons learnt	
D day		Record the conduct of the drill	
D +1		Prepare the written report on the drill	
D +2		Report the conduct of the drill to management	



CODE WORDS

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

CODE WORD	MEANING
Drill Start	The drill is to commence
Drill Suspend	The drill is temporarily suspended
Drill Go	The drill is to resume from where it was suspended
Drill Stop	The drill is to be terminated (prematurely)
Drill End	The drill is completed
For Exercise	The message or statement that follows this preamble relates to the drill only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the drill e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."



Port Facility

12 October XXXX

*The Security Officer
Port Facility*

LETTER OF IDENTIFICATION

This is to certify that *Mr. ABC* is a controller in a *Port Facility* maritime security drill being conducted on *17 October XXXX*. Please contact the undersigned and escort *Mr. ABC* to the Security Office.

signed
Mr. DEF
Port Facility Security Officer

**D312 MASTER EVENTS LIST**

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
<i>Date: 12 Oct XX</i>				
001	1600	<i>Controller briefing</i>		<i>Meeting point away from the Port Facility</i>
<i>Date: 17 Oct XX</i>				
002	0830	<i>Participant briefing*</i>		<i>Staff canteen</i>
003	0930	<i>Controllers final briefing</i>		<i>Meeting point away from the Port Facility</i>
004	1000	<i>Controllers at respective positions</i>		<i>Chief Controller at Port Facility vehicle entrance</i>
005	1030	<i>All security staff at respective positions</i>		<i>As appropriate</i>
006	1031	<i>Drill commence</i>		
007	1105	<i>Mailman to proceed to the Port Facility entrance</i>	<i>Port Facility security staff should screen the mail and be able to recognize the suspicious nature of the powder “spilled” in the mail bag</i>	<i>Port Facility entrance</i>
008	1107	<i>Paint vehicle driver to proceed to the Port Facility entrance</i>	<i>Port Facility security staff should screen the paints and solvents and be able to recognize the suspicious nature of the simulated “petrol bombs”</i>	<i>Port Facility entrance</i>
009	1200	<i>Drill End</i>	<i>Dispersal of personnel</i>	
010	1430	<i>Debrief</i>	<i>Controllers and security staff to report findings and lessons learnt</i>	<i>Staff recreation room</i>
<i>* Not required if the drill is to be conducted without prior notice to the participants</i>				

**REPORT ON THE CONDUCT OF SECURITY DRILL D312**

Drill Conducted	<i>Materials handling - Personal effects, parcels and mail</i>
Type	<i>Suspicious substances</i>
General objective	<i>To practice port security staff in the screening of items being delivered to the Port Facility.</i>
Date and time	<i>15 October XXXX at 0945 hrs.</i>
Duration	<i>3 hrs</i>
Controllers	<i>Mr GHJ, Manager, Safety and Security – Chief controller Mr YHU, Mailman Mr KMJ, Paint deliveryman</i>
Participants	<i>Security staff from Team 2 and Team 3 All participants were briefed on the conduct of this drill</i>
Significant events	<i>1. Two deliverymen were tasked to attempt to deliver mail, including a letter containing a simulated suspicious powder; and paints and solvents, including petrol bombs into the Port Facility premises. 2. The mailman carried a mail bag with letters, including an envelope with a powdery substance which had spilled out into the mail bag, for delivery to the Port Facility administration office. Security staff noted the powder and questioned the mailman.</i>



Significant events	<p>3. <i>The paint deliveryman brought 10 cans of paint and 20 bottles of solvent for delivery to MV RSE. He did not have any delivery order or documentation for the delivery. However, because he arrived when the security staff were engrossed in the suspicious mail item, they were distracted and did not check his stores thoroughly and allowed him to proceed to the ship. His delivery included 5 bottles of solvent and 15 bottles marked “Petrol”.</i></p> <p>Include photographs if relevant</p>
Lessons learnt	<p><i>Security staff acted correctly on their suspicions about the powdery substance in the mail bag. However, they did not recognize it was a deliberate diversion created to allow the saboteur through as the paint deliveryman.</i></p> <p>Include photographs if relevant</p>
Follow-up action	<p>1. <i>Security staff must remain alert and be thorough in their duties at all times, and never let their guard down.</i></p> <p>2. <i>These reminders will be included in Security Circulars to be initiated for Notice Boards and in weekly emails.</i></p>
Performance indicators	<p>1. <i>Detection rate – 1/2</i></p> <p>2. <i>The degree of compliance with Port Facility security instructions in handling:</i></p> <ul style="list-style-type: none">a. <i>Mailman – x%</i>b. <i>Paint deliveryman – y%</i>
Total cost	<p>\$xxx</p>



Drill	D313
Category	Materials Handling
Type	Personal effects, parcels and mail
Subject	Suspicious items
Security Level	1 and 2
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Vol I Part 1 – Guidelines for the Conduct of Maritime Security Drills 4. ISPS Code

INTRODUCTION

1. A wide range of goods enter and leave a Port Facility, from liquid cargo to cargo in TEUs, baggage, mail, ships' stores, contractors' materials and personal items. While most will be normal cargo, some may pose a security risk, and security staff must be alert to all items that may be of special security concern, regardless of their origin, conveyance, or destination.

2. Two control personnel will attempt to take suspicious/prohibited items into the Port Facility. This drill will check security staff diligence in their routine screening of parcels, mail and personal effects.

AIM OF THE DRILL

3. **General Objective**

To practice port security staff in the screening of items being brought into the Port Facility.

4. **Specific Objectives**

- a. To test the vigilance of security staff in detecting suspicious items
- b. To practice security staff in the conduct of checks on bags and other personal belongings of personnel entering the Port Facility



- c. To enhance the security awareness of threats to the Port Facility
- d. Meet or better the specified compliance benchmark for this drill.

REQUIRED ATTAINMENTS

- 5. On completion of the drill, Port Facility security staff will be able to:
 - a. Apply the procedures in the Port Facility security instructions for the screening of personal items being brought into the Port Facility
 - b. Detect suspicious items in the personal belongings of personnel entering the Port Facility
 - c. Take the appropriate action on suspicious items.

PLANNING FOR THE DRILL

6. **Timetable**

The date for the conduct of this drill should be scheduled in the Port Facility's annual work program. Preparations for this drill should commence 2 weeks prior to the date of conduct. An example of a time-table for the preparation and conduct of this drill is given in Appendix 1.

7. **Personnel**

- a. Control Team

- (1) The Chief Controller may be the Port Facility Security Officer (PFSO) or a manager in charge of security matters. Where the first line response by security staff involves the PFSO, a manager should be considered for the appointment of Chief Controller. This will free the PFSO to respond to the situation as it develops during the drill.

- (2) The Chief Controller should arrange for the following to participate as controllers:

- (a) One Port Facility mechanic, to play the part of a disgruntled employee. The controller should be a non-smoker.

- (b) One representative from a shipping agent.



b. Participants

The participants will be the Port Facility security staff.

c. Safety Officer

The appointment of a safety officer for this drill may be considered, but is not expected to be essential for this drill.

8. **Resources**

a. Equipment

(1) One canister of cigarette lighter fluid refill. This is to represent a suspicious item to be carried by an employee. It is to be included among other personal items in a haversack carried by a Port Facility employee.

(2) One parcel of innocuous personal items, in which is placed one dagger (any suitably intimidating dagger-like knife). The parcel should be a shopping bag, and need not be wrapped.

b. Communications

(1) **Equipment**

(a) Mobile phone: It is recommended that mobile phones should be the preferred means of communications between the Chief Controller and the controllers, subject to the availability of a cell phone network at the location of the Port Facility.

(b) Walkie-talkie: When using walkie-talkies, note that they have a short range and short battery life. They are usually bulky and may not be easily concealed, and they may be subject to interference if left switched on, leading to discovery at awkward moments.

(2) **Codewords**

Code words are used to provide brevity and clarity in communications during the conduct of a drill. A list of suggested code words is given in Appendix 2. The code words must be promulgated to all controllers and participants of the drill.



(3) **Security**

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

c. Other requirements

- (1) Location for the debrief
- (2) Refreshments e.g. during the debrief
- (3) Person to take notes during the debrief
- (4) Stationery for note-taking

9. **Safety**

- a. It is not expected that safety would be of special concern during this drill.
- b. Controllers with roles as intruders or drivers, etc. should be issued with a letter of identification provided in Appendix 3 to forestall any undesirable action or behavior on the part of security staff toward them.

10. **Budget**

Funding may be needed for the following:

- a. Purchase of cigarette lighter fluid refill.
- b. Refreshments for the debrief.
- c. Reimbursement of expenses incurred by controllers or staff.

11. **Policy for disclosure**

- a. The Chief Controller should decide if the drill is to be announced (i.e. participants such as security staff will be notified of the conduct of the drill) or the conduct of the drill will not be announced beforehand (i.e. the participants will not be informed of the conduct of the drill).
- b. In deciding the mode, the following may be taken into consideration:
 - (1) Security - Where it is assessed that confidentiality is uncertain or difficult to maintain, it is preferable to opt for an announced drill.
 - (2) Organizational culture - Unannounced drills may be perceived as a test of the participants.



- (3) Ships at the Port Facility - Where it is anticipated that the drill may impact in any way on ships alongside, their crew, agents, suppliers or contractors, ships alongside should be notified in advance of the drill.

12. Management endorsement

The Chief Controller should seek approval from management for the conduct of the drill. Management should be informed of the drill prior to its conduct, even if formal approval is not required.

CONDUCTING THE DRILL

13. Master Events List

- a. Two discrete events are scheduled in this drill to test the vigilance of Port Facility security staff in screening mail, parcels and personal items entering the Port Facility. The drill begins with one mechanic employee (controller) reporting to work as usual to the Port Facility. The second event is the delivery to the Port Facility of a parcel supposedly for someone on board a ship alongside. Security staffs are expected to screen items entering the Port Facility, and act upon the discovery of the suspicious items in accordance with the Port Facility's security instructions.
- b. The "injects" (simulated events) for the conduct of the drill are provided in the example of a Master Events List at Appendix 4. These would be introduced on schedule or on completion of the preceding event. Adjustments would be made to cater to the prevailing circumstances.

14. Controller briefing

- a. The briefing to controllers will be conducted by the Chief Controller and should include the following:
 - (1) Roles to be played by controllers.
 - (2) Positions of controllers at the commencement of the drill.
 - (3) Transport arrangements.
 - (4) Suggested responses to questioning by security staff.
 - (5) Safety measures.



b. Scenario

(1) A disgruntled mechanic at the Port Facility who was recently disciplined by his supervisor has decided to take revenge by setting fire to the machine shop.

(2) A shipping agent's representative acting on behalf of a member of a ship's crew tries to deliver a dagger to a seaman on board.

c. Tasks

(1) The mechanic's mission is to bring a flammable substance to his workplace in order to start a fire. Petrol is not readily available at this Port Facility. The mechanic felt it would be too suspicious a substance to bring in to the workplace, so the mechanic will attempt to bring in lighter fluid instead, to be used in conjunction with diesel (available at his workplace) to start the fire. He will carry the lighter fluid in his haversack, along with his other personal effects.

(2) The mission of the ship agency's representative is to deliver a dagger to a member of the ship's crew. The dagger should be part of other items in a parcel to be delivered to the ship by the shipping agent.

(3) A simulated dialogue between the controllers and the Port Facility security staff is provided at Appendix 5. It is not meant as a script, but a guide to the possible interaction.

(4) The Chief Controller will conduct the drill in accordance with the events listed in the Master Events List.

(5) The Chief Controller should position himself at a suitable location to discreetly observe the proceedings.

15. **Participant briefing**

a. A briefing to participants should be scheduled if it is decided that the drill is to be announced (paragraph 11). The brief to participants should include the following:

(1) Review of the previous drill, including the lessons learnt.

(2) Objectives and scenario of the drill to be conducted.



- (3) The Port Facility's security instructions pertaining to the drill being conducted.
- (4) Update on the ISPS Code and/or local regulations.
- (5) Developments in maritime security (news, events, etc).

b. It should not include information or details of the controllers' plans for the drill.

16. **Briefing Aids**

Briefing slides and notes are provided in the accompanying PowerPoint files. With entries for the names, dates, locations, etc. these may be used to conduct the briefing to controllers and to participants.

17. **Condition**

The Port Facility is to proceed with its daily business as usual. No prior preparations on the part of the security staff and/or security arrangements are required for the conduct of this drill.

18. **Performance Measurement**

Performance indicators should be established for this drill. Some may be dependent on the specific circumstances of the Port Facility. Ideally, performance indicators should be objective, but subjective ones may also be observed by the controllers, e.g. the degree of compliance with Port Facility security instructions.

CONCLUDING THE DRILL

19. The drill shall be ended under the following circumstances:
- a. When the ship agent has successfully entered the Port Facility premises.
or
 - b. When the ship agent's representative is stopped at the gate by Port Facility security staff and the dagger is discovered.
or
 - c. Upon the Chief Controller's instruction.



20. Debrief

- a. Allow some time for the controllers and security staff to gather their thoughts on the events, in preparation for the debrief.
- b. Assemble all participating security staff for debrief.
- c. The Chief Controller should conduct the debrief.
- d. Appoint a note-taker to record the salient points of the discussion and in particular the lessons learnt and any follow-up actions required. Guidance should be provided to the note-taker as to what is to be recorded.

21. Reports

- a. Report the conduct of the drill to the management, either with a written report or verbally, as required by the management. An example of a report is provided at Appendix 6.
- b. If a written report is submitted, arrange for a briefing on the drill to be given at a management meeting to inform top management of the proceedings.

22. Records

An ISPS Drills and Exercises Record Book should be maintained by the Port Facility. The following is an example of an entry in the ISPS Drill and Exercises Record Book:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
<i>15/10/XX</i>	<i>Drill</i>	<i>Materials handling - Personal effects, parcels and mail</i>	<i>D313 - Suspicious items</i>	<i>PF/101/08-D313 dated xx/yy/zzzz</i>



D313 TIME-TABLE FOR PLANNING

DAYS TO DRILL	DATE	EVENT	CHECK
D -14	(calendar	Review the Guidelines	
D -14	dates to be	Confirm budget availability for items and/or services to be employed during the drill	
D -12	inserted)	Identify the drill control team	
D -10		Obtain management endorsement if it is required	
D -7		Refine or adjust the Master Events List if necessary	
D -5		Confirm the participants	
D -2		Brief the controllers and issue Letter of Identification, funds, etc.	
D day		Conduct the drill	
D day		Perform the debrief and record the lessons learnt	
D day		Record the conduct of the drill	
D +1		Prepare the written report on the drill	
D +2		Report the conduct of the drill to management	



CODE WORDS

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

CODE WORD	MEANING
Drill Start	The drill is to commence
Drill Suspend	The drill is temporarily suspended
Drill Go	The drill is to resume from where it was suspended
Drill Stop	The drill is to be terminated (prematurely)
Drill End	The drill is completed
For Exercise	The message or statement that follows this preamble relates to the drill only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the drill e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."



Port Facility

12 October XXXX

*The Security Officer
Port Facility*

LETTER OF IDENTIFICATION

This is to certify that *Mr. ABC* is a controller in a *Port Facility* maritime security drill being conducted on *17 October XXXX*. Please contact the undersigned and escort *Mr. ABC* to the Security Office.

signed
Mr. DEF
Port Facility Security Officer

**D313 INJECTS LIST**

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
<i>Date: 12 Oct XX</i>				
001	1600	<i>Controller briefing</i>		<i>Meeting point away from the Port Facility</i>
<i>Date: 17 Oct XX</i>				
002	0800	<i>Participant briefing*</i>		<i>Staff canteen</i>
003	0830	<i>Controllers final briefing</i>		<i>Meeting point away from the Port Facility convenient to transportation for controllers</i>
004	0900	<i>Controllers at respective positions</i>		<i>Chief Controller at Port Facility entrance</i>
005	0910	<i>All security staff at respective positions</i>		<i>As appropriate</i>
006	0930	<i>Drill commence</i>		
007	0945	<i>Mechanic to report for work at the Port Facility</i>	<i>Port Facility security staff should screen the mechanic's bag and question him on the lighter fluid</i>	<i>Port Facility entrance</i>
008	1410	<i>Ship agent to proceed to the Port Facility</i>	<i>Port Facility security staff should screen the items and be able to pick out the dagger</i>	<i>Port Facility entrance</i>
009	1500	<i>Drill End</i>	<i>Dispersal of personnel</i>	
010	1530	<i>Debrief</i>	<i>Controllers and security staff to report findings and lessons learnt</i>	<i>Staff recreation room</i>
* Not required if the drill is to be conducted without prior notice to the participants				

**D 313 POSSIBLE DIALOGUE BETWEEN THE SECURITY STAFF AND CONTROLLERS**

This dialogue serves as a guide to meet the simulation requirements of the drill. It is not meant as a script either for the security staff or the controllers, but as a guide to the intent and content of the possible communication.

Mechanic	
Security staff to Mechanic	Is this your lighter refill?
Mechanic to Security staff	Yes.
Security staff to Mechanic	What are you doing with it?
Mechanic to Security staff	Fill my cigarette lighter at my workshop
Security staff to Mechanic	You are not a smoker.
Mechanic to Security staff	It is for my friend.
At this stage, security staff may be expected to confiscate the lighter refill on the grounds that it is a dangerous substance. This will end this event.	
Ship agent representative	
Ship agent representative to Security staff	What is this dagger for?
Security staff to Ship agent representative	For Seaman Mr. KGC on board MV RSE
Ship agent representative to Security staff	What is his purpose in asking for this?
Security staff to Ship agent representative	I don't know.
At this stage, security staff may be expected to confiscate the dagger on the grounds that it is a weapon. This will end this event.	



REPORT ON THE CONDUCT OF SECURITY DRILL D313

Type of Drill	<i>Materials handling - Personal effects, parcels and mail</i>
Drill Conducted	<i>Suspicious items</i>
General objective	<i>To practice port security staff in the screening of items being brought into the Port Facility</i>
Date and time	<i>15 October XXX at 0945 hrs</i>
Duration	<i>5 hrs</i>
Controllers	<i>Mr GHJ, Manager, Safety and Security – Chief controller Mr YHU, Mechanic Mr KMJ, Ship Agent representative</i>
Participants	<i>Security staff from Team 2 and Team 3 All participants were briefed on the conduct of this drill</i>
Significant events	<i>1. Two controllers were tasked to attempt to take suspicious items into the Port Facility premises. 2. Mechanic Mr. YHU brought in a can of lighter fluid. On being queried about it, he declared that it was for his own use. However, security staffs were suspicious because the Mr. YHU is not a smoker. He was further queried and confessed his intentions. Mr. YHU was “detained”.</i>



Significant events	<p><i>3. Ship Agent carried a bag with various small items to be delivered to MV RSE. Security staff found a dagger and queried him about it. The dagger was noted in the incident log and the Ship Agent permitted to make his delivery.</i></p> <p>Include photographs if relevant</p>
Lessons learnt	<p><i>1. Security staff acted correctly on their suspicions about the controllers, based on the contents of their bags.</i></p> <p><i>2. Security staff acted correctly to “detain” the mechanic but permit the Ship Agent to deliver the dagger after taking note of it.</i></p> <p>Include photographs if relevant</p>
Follow-up action	<p><i>1. All employees will be reminded to be alert to unusual and suspicious items that may constitute a maritime security threat.</i></p> <p><i>2. These reminders will be included in Security Circulars to be initiated for Notice Boards and in weekly emails.</i></p>
Performance indicators	<p><i>1. Detection rate – 2/2</i></p> <p><i>2. The degree of compliance with Port Facility security instructions in handling:</i></p> <ul style="list-style-type: none"><i>a. Mechanic – x%</i><i>b. Ship agent representative – y%</i>
Total cost	<p>\$xxx</p>



Drill	D321
Category	Materials Handling
Type	Cargo
Subject	Vehicle delivering cargo without proper documents
Security Level	1 and 2
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Vol I Part 1 – Guidelines for the Conduct of Maritime Security Drills 4. ISPS Code

INTRODUCTION

1. Cargo delivered to a ship at a Port Facility has to undergo several security checks, the first being to confirm the cargo against its bill of lading. These security checks should be performed by the Port Facility efficiently in order to expedite the cargo handling process. Speed should not over-ride security and accuracy in consignment, however, and Port Facility security staff are expected to verify cargo documents conscientiously. Port Facility procedures would reasonably require such deliveries to be accompanied by appropriate documentation such as bills of lading, etc. which will allow the cargos to be checked against the documentation.

2. Two cargo trucks will attempt to deliver cargo with deficient accompanying documentation. This drill will require the Port Facility security staff to perform the procedures relating to the delivery of cargo that is not accompanied by the requisite documents.

AIM OF THE DRILL

3. **General Objective**

To practice security staff in the screening of the documentation for cargo entering the Port Facility



4. **Specific Objectives**

- a. To practice the thorough checking of documents for cargo entering the Port Facility.
- b. To practice security staff in the conduct of checks on vehicles entering the Port Facility.
- c. To enhance the security awareness of threats to the Port Facility.
- d. Meet or better the specified compliance benchmark for this drill.

REQUIRED ATTAINMENTS

5. On completion of the drill, Port Facility security staff will be able to:
 - a. Apply the procedures for the screening of vehicles entering the Port Facility.
 - b. Check the documentation for cargo entering the Port Facility.
 - c. Detect anomalies in cargo documentation.

PLANNING FOR THE DRILL

6. **Timetable**

The date for the conduct of this drill should be scheduled in the Port Facility's annual work program. The specific date would depend on the scheduled arrival of a ship at the Port Facility. Preparations for this drill should commence 2 weeks prior to the date of conduct. An example of a time-table for the preparation and conduct of this drill is given in Appendix 1.

7. **Personnel**

- a. Control Team

- (1) The Chief Controller may be the Port Facility Security Officer (PFSO) or a manager in charge of security matters. Where the first line response by security staff involves the PFSO, a manager should be considered for the appointment of Chief Controller. This will free the PFSO to respond to the situation as it develops during the drill.



(2) Drivers and assistants (if any) of two cargo trucks.

b. Participants

The participants will be the Port Facility security staff.

c. Safety Officer

The appointment of a safety officer for this drill may be considered, but is not expected to be essential for this drill.

8. **Resources**

a. Cargo and Vehicles

The Chief Controller should arrange with freight forwarders for two consignments of cargo in two trucks to participate in the drill. All normal procedures for the consignments should be complied with, except that incorrect documentation will accompany the deliveries. Arrangements are to be made with the participating companies to issue a set of “for exercise” documents and/or withhold the appropriate documents accordingly. The proper documentation must also be available to process the cargo normally after each of the two drill events.

b. Communications

(1) **Equipment**

(a) Mobile phone: It is recommended that mobile phones should be the preferred means of communications between the Chief Controller and the controllers, subject to the availability of a cell phone network at the location of the Port Facility.

(b) Walkie-talkie: When using walkie-talkies, note that they have a short range and short battery life. They are usually bulky and may not be easily concealed, and they may be subject to interference if left switched on, leading to discovery at awkward moments.



(2) **Code words**

Code words are used to provide brevity and clarity in communications during the conduct of a drill. A list of suggested code words is given in Appendix 2. The code words must be promulgated to all controllers and participants of the drill.

(3) **Security**

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

c. Other requirements

- (1) Location for the debrief
- (2) Refreshments e.g. during the debrief
- (3) Person to take notes during the debrief
- (4) Stationery for note-taking

9. **Safety**

a. Security staff activity in connection with this drill would be monitored by the Safety Officer, if one is appointed. The Safety Officer should station himself at a location where he would be:

- (1) Able to observe the majority of events
- (2) Near where potentially hazardous activity may take place
- (3) Accessible should he be required in a contingency

b. Controllers with roles as intruders or drivers, etc. should be issued with a letter of identification provided in Appendix 3 to forestall any undesirable action or behavior on the part of security staff toward them.

10. **Budget**

Funding may be needed for the following:

- a. Employment of drivers and their vehicles.
- b. Refreshments for the debrief.
- c. Reimbursement of expenses incurred by controllers or staff.



11. Policy for disclosure

- a. The Chief Controller should decide if the drill is to be announced (i.e. participants such as security staff will be notified of the conduct of the drill) or the conduct of the drill will not be announced beforehand (i.e. the participants will not be informed of the conduct of the drill).
- b. In deciding the mode, the following may be taken into consideration:
 - (1) Security - Where it is assessed that confidentiality is uncertain or difficult to maintain, it is preferable to opt for an announced drill.
 - (2) Organizational culture - Unannounced drills may be perceived as a test of the participants.
 - (3) Ships at the Port Facility - Where it is anticipated that the drill may impact in any way on ships alongside, their crew, agents, suppliers or contractors, ships alongside should be notified in advance of the drill.

12. Management endorsement

The Chief Controller should seek approval from management for the conduct of the drill. Management should be informed of the drill prior to its conduct, even if formal approval is not required.

CONDUCTING THE DRILL

13. Master Events List

- a. The drill begins with the entry into the Port Facility of the first vehicle, bearing a routine legitimate consignment of cargo for a ship.
- b. After a suitable interval, the second vehicle will seek entry with another legitimate consignment of cargo for a ship.
- c. The “injects” (simulated events) for the conduct of the drill are provided in the example of a Master Events List at Appendix 4. These would be introduced on schedule or on completion of the preceding event. Adjustments would be made by the Chief Controller to cater to the prevailing circumstances.



14. Controller briefing

a. The briefing to controllers will be conducted by the Chief Controller and should include the following:

- (1) Roles to be played by controllers.
- (2) Positions of controllers at the commencement of the drill.
- (3) Transport arrangements.
- (4) Suggested responses to questioning by security staff.
- (5) Safety measures.

b. Scenario

Two trucks are to enter the Port Facility in order to deliver cargo. Each truck is a separate event and their activities are unrelated to each other. They should be directed to access the Port Facility at different times during the day.

c. Tasks

- (1) The drivers are to approach Port Facility security in the normal manner and attempt entry with bona fide cargo. They will comply with all procedures to transport the cargo into the Port Facility.
 - (a) Vehicle 1 will attempt entry with wrong documentation, such as a bill of lading for a different cargo.
 - (b) Vehicle 2 will attempt entry with incomplete documentation, such as a missing bill of lading.
- (2) Both vehicles must carry the correct documentation in order to process the deliveries normally, after each drill event.
- (3) The Chief Controller will conduct the drill in accordance with the events listed in the Master Events List.
- (4) The Chief Controller should position himself at a suitable location to discreetly observe the proceedings.

15. Participant briefing

a. A briefing to participants should be scheduled if it is decided that the drill is to be announced (paragraph 11). The brief to participants should include the following:



- (1) Review of the previous drill, including the lessons learnt
- (2) Objectives and scenario of the drill to be conducted
- (3) The Port Facility's security instructions pertaining to the drill being conducted
- (4) Update on the ISPS Code and/or local regulations
- (5) Developments in maritime security (news, events, etc)

b. It should not include information or details of the controllers' plans for the drill.

16. **Briefing Aids**

Briefing slides and notes are provided in the accompanying PowerPoint files. With entries for the names, dates, locations, etc. these may be used to conduct the briefing to controllers and to participants.

17. **Conditions**

The Port Facility is to proceed with its daily business as usual. No prior preparations on the part of the participants and/or security arrangements are required for the conduct of this drill.

18. **Performance Measurement**

Performance indicators should be established for this drill. Some may be dependent on the specific circumstances of the Port Facility. Ideally, performance indicators should be objective, but subjective ones may also be observed by the controllers, such as the degree of compliance with Port Facility security instructions in handling the deliveries without the appropriate documentation.



CONCLUDING THE DRILL

19. The drill may be ended under the following circumstances:
- a. After both trucks have successfully entered the Port Facility premises without any concerns being raised by security staff on the incorrect documentation.
 - or
 - b. When security staffs detect and query the incorrect documentation for the delivery of the cargo, with the drivers of both vehicles.
 - or
 - c. Upon the Chief Controller's instruction.
20. **Debrief**
- a. Allow some time for the controllers and security staff to gather their thoughts on the events, in preparation for the debrief.
 - b. Assemble all participating security staff for debrief.
 - c. The Chief Controller should conduct the debrief.
 - d. Appoint a note-taker to record the salient points of the discussion and in particular the lessons learnt and any follow-up actions required. Guidance should be provided to the note-taker as to what is to be recorded.
21. **Reports**
- a. Report the conduct of the drill to the management, either with a written report or verbally, as required by the management. An example of a report is provided at Appendix 5.
 - b. If a written report is submitted, arrange for a briefing on the drill to be given at a management meeting to inform top management of the proceedings.



22. Records

An ISPS Drills and Exercises Record Book should be maintained by the Port Facility. The following is an example of an entry in the ISPS Drill and Exercises Record Book:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
<i>15/10/XX</i>	<i>Drill</i>	<i>Materials Handling - Cargo</i>	<i>D321 - Vehicle delivering cargo without proper documents</i>	<i>PF/101/08-D321 dated xx/yy/zzzz</i>



D321 TIME-TABLE FOR PLANNING

DAYS TO DRILL	DATE	EVENT	CHECK
D -14	(calendar	Review the Guidelines	
D -14	dates to be	Confirm budget availability for items and/or services to be employed during the drill	
D -12	inserted)	Identify the drill control team	
D -10		Obtain management endorsement if it is required	
D -7		Refine or adjust the Master Events List if necessary	
D -5		Confirm the participants	
D -2		Brief the controllers and issue Letter of Identification, funds, etc.	
D day		Conduct the drill	
D day		Perform the debrief and record the lessons learnt	
D day		Record the conduct of the drill	
D +1		Prepare the written report on the drill	
D +2		Report the conduct of the drill to management	



CODE WORDS

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

CODE WORD	MEANING
Drill Start	The drill is to commence
Drill Suspend	The drill is temporarily suspended
Drill Go	The drill is to resume from where it was suspended
Drill Stop	The drill is to be terminated (prematurely)
Drill End	The drill is completed
For Exercise	The message or statement that follows this preamble relates to the drill only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the drill e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."



Port Facility

12 October XXXX

*The Security Officer
Port Facility*

LETTER OF IDENTIFICATION

This is to certify that *Mr. ABC* is a controller in a *Port Facility* maritime security drill being conducted on *17 October XXXX*. Please contact the undersigned and escort *Mr. ABC* to the Security Office.

signed
Mr. DEF
Port Facility Security Officer

**D321 MASTER EVENTS LIST**

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
<i>Date: 12 Oct XX</i>				
001	1600	<i>Controller briefing</i>		<i>Meeting point away from the Port Facility</i>
<i>Date: 17 Oct XX</i>				
002	0900	<i>Participant briefing*</i>		<i>Port Facility</i>
003	0930	<i>Controllers final briefing</i>		<i>Telephone briefing should be adequate</i>
004	1000	<i>Controllers at respective positions</i>		<i>Chief Controller at Port Facility security office where cargo documents are submitted</i>
005	1030	<i>All security staff at respective positions</i>		<i>As appropriate</i>
006	1031	<i>Drill commence</i>		
007	1105	<i>Vehicle 1 to proceed to the Port Facility</i>	<i>Port Facility security staff should be able to recognize the deficiency in the cargo documentation submitted by the driver</i>	<i>Port Facility vehicle entrance</i>
008	1410	<i>Vehicle 2 to proceed to the Port Facility</i>	<i>Port Facility security staff should enquire about the missing documentation</i>	<i>Port Facility vehicle entrance</i>
009	1500	<i>Drill End</i>	<i>Dispersal of personnel</i>	
010	1530	<i>Debrief</i>	<i>Controllers and security staff to report findings and lessons learnt</i>	<i>Staff recreation room</i>
* Not required if the drill is to be conducted without prior notice to the participants				

**REPORT ON THE CONDUCT OF SECURITY DRILL D321**

Type of Drill	<i>Materials Handling - Cargo</i>
Drill Conducted	<i>Vehicle delivering cargo without proper documents</i>
General objective	<i>To practice security staff in the screening of the documentation for cargo entering the Port Facility</i>
Date and time	<i>15 October XXXX at 0945 hrs.</i>
Duration	<i>5 hrs</i>
Controllers	<i>Mr GHJ, Manager, Safety and Security – Chief controller Mr YHU, Driver, Truck 1 Mr KMJ, Driver, Truck 2</i>
Participants	<i>Security staff from Team 2 and Team 3 Participants were not briefed on the conduct of this drill</i>
Significant events	<i>1. Two cargo trucks were tasked to transport their cargo into the Port Facility without proper documentation. 2. Truck 1 held a Bill of Lading for a different cargo. The error was spotted immediately by security staff, and the vehicle refused entry. 3. Truck 2 had all other documentation except a Bill of Lading. Security staff also noted this deficiency and refused the vehicle entry. Include photographs if relevant</i>



Lessons learnt	<p><i>1. Security staff are adequately trained and experienced to spot anomalies in cargo documentation.</i></p> <p><i>2. Errors in documentation may be genuine mistakes, but may also conceal security threats such as cargoes switched for explosives or contraband.</i></p> <p>Include photographs if relevant</p>
Follow-up action	<p><i>1. All employees will be reminded to be alert to anomalies in cargo documentation and how these anomalies can represent a security threat.</i></p> <p><i>2. These reminders will be posted on Notice Boards for the next 2 weeks.</i></p>
Performance indicators	<p><i>1. Detection rate – 2/2</i></p> <p><i>2. The degree of compliance with Port Facility security instructions in handling:</i></p> <ul style="list-style-type: none"><i>a. Truck 1 driver and assistant – x%</i><i>b. Truck 2 driver and assistant – y%</i>
Total cost	\$xxx



Drill	D322
Category	Materials Handling
Type	Cargo
Subject	Cargo without proper seals
Security Level	1 and 2
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Vol I Part 1 – Guidelines for the Conduct of Maritime Security Drills 4. ISPS Code

INTRODUCTION

1. TEUs (containers) delivered to Port Facilities for embarkation on board ships are sealed for security of the contents, and against the possibility of contraband and other unauthorized items being included in the TEU. When a TEU is found to have a seal that has been tampered with or missing, suspicions must be raised as to the reason for the violation.
2. Two cargo trucks will attempt to deliver TEUs with defective seals. This drill will require the Port Facility security staff to detect and respond to missing or broken seals on cargo delivered to the Port Facility.

AIM OF THE DRILL

3. **General Objective**

To practice security staff in the screening of cargo entering the Port Facility

4. **Specific Objectives**

- a. To practice security staff in the conduct of checks on the security features on cargo entering the Port Facility
- b. To practice security staff in the inspection of vehicles entering the Port Facility



- c. To enhance the security awareness of threats to the Port Facility.
- d. Meet or better the specified compliance benchmark for this drill.

REQUIRED ATTAINMENTS

- 5. On completion of the drill, Port Facility security staff will be able to:
 - a. Apply the procedures for the screening of vehicles entering the Port Facility.
 - b. Check the security control measures on cargo entering the Port Facility.
 - c. Detect anomalies in cargo security measures.

PLANNING FOR THE DRILL

6. **Timetable**

The date for the conduct of this drill should be scheduled in the Port Facility's annual work program. The specific date would depend on the scheduled arrival of a ship at the Port Facility. Preparations for this drill should commence 2 weeks prior to the date of conduct. An example of a time-table for the preparation and conduct of this drill is given in Appendix 1.

7. **Personnel**

- a. Control Team

- (1) The Chief Controller may be the Port Facility Security Officer (PFSO) or a manager in charge of security matters. Where the first line response by security staff involves the PFSO, a manager should be considered for the appointment of Chief Controller. This will free the PFSO to respond to the situation as it develops during the drill.

- (2) Drivers and assistants (if any) of two cargo delivery vehicles.

- b. Participants

The participants will be the Port Facility security staff.



c. Safety Officer

The appointment of a safety officer for this drill may be considered, but is not expected to be essential for this drill.

8. **Resources**

a. Cargo and Vehicles

The Chief Controller should arrange with freight forwarders for two TEUs and trucks to participate in the drill. The first TEU will be sealed with a broken seal. The second TEU will have no seal.

b. Communications

(1) **Equipment**

(a) Mobile phone: It is recommended that mobile phones should be the preferred means of communications between the Chief Controller and the controllers, subject to the availability of a cell phone network at the location of the Port Facility.

(b) Walkie-talkie: When using walkie-talkies, note that they have a short range and short battery life. They are usually bulky and may not be easily concealed, and they may be subject to interference if left switched on, leading to discovery at awkward moments.

(2) **Code words**

Code words are used to provide brevity and clarity in communications during the conduct of a drill. A list of suggested code words is given in Appendix 2. The code words must be promulgated to all controllers and participants of the drill.

(3) **Security**

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



- c. Other requirements
 - (1) Location for the debrief
 - (2) Refreshments e.g. during the debrief
 - (3) Person to take notes during the debrief
 - (4) Stationery for note-taking
9. **Safety**
- a. Security staff activity in connection with this drill would be monitored by the Safety Officer, if one is appointed. The Safety Officer should station himself at a location where he would be:
 - (1) Able to observe the majority of events
 - (2) Near where potentially hazardous activity may take place
 - (3) Accessible should he be required in a contingency
 - b. Controllers with roles as intruders or drivers, etc. should be issued with a letter of identification provided in Appendix 3 to forestall any undesirable action or behavior on the part of security staff toward them.
10. **Budget**
- Funding may be needed for the following:
- a. Compensation/employment of drivers and their vehicles.
 - b. Replacement seals.
 - c. Refreshments for the debrief.
 - d. Reimbursement of expenses incurred by controllers or staff.
11. **Policy for disclosure**
- a. The Chief Controller should decide if the drill is to be announced (i.e. participants such as security staff will be notified of the conduct of the drill) or the conduct of the drill will not be announced beforehand (i.e. the participants will not be informed of the conduct of the drill).
 - b. In deciding the mode, the following may be taken into consideration:
 - (1) Security - Where it is assessed that confidentiality is uncertain or difficult to maintain, it is preferable to opt for an announced drill.
 - (2) Organizational culture - Unannounced drills may be perceived as a test of the participants.
-



- (3) Ships at the Port Facility - Where it is anticipated that the drill may impact in any way on ships alongside, their crew, agents, suppliers or contractors, ships alongside should be notified in advance of the drill.

12. Management endorsement

The Chief Controller should seek approval from management for the conduct of the drill. Management should be informed of the drill prior to its conduct, even if formal approval is not required.

CONDUCTING THE DRILL

13. Master Events List

- a. Two trucks are to enter the Port Facility in order to deliver their cargo of TEUs. Each vehicle is a separate event and their activities are unrelated to each other. They should be directed to access the Port Facility at different times during the day.
- b. The drill begins with the entry into the Port Facility of the first truck bearing the TEU with the broken seal. The break in the seal should not be hidden or masked so as to facilitate the drill. After a suitable interval, the second truck will enter with the TEU with no seal.
- c. The “injects” (simulated events) for the conduct of the drill are provided in the example of a Master Events List at Appendix 4. These would be introduced on schedule or on completion of the preceding event. Adjustments would be made by the Chief Controller to cater to the prevailing circumstances.

14. Controller briefing

- a. The briefing to controllers will be conducted by the Chief Controller and should include the following:
 - (1) Roles to be played by controllers.
 - (2) Positions of controllers at the commencement of the drill.
 - (3) Transport arrangements.
 - (4) Suggested responses to questioning by security staff.
 - (5) Safety measures.



b. Scenario

Two trucks with TEUs have been targeted by smugglers en route to the Port Facility. The drivers were kidnapped and substituted by gang members. The smugglers loaded contraband in the TEUs after breaking the seals and opening them but the bungling criminals did not have new seals and lost one of the broken seals. After loading their contraband, the smugglers drove the TEUs on to the Port Facility.

c. Tasks

- (1) The drivers are to be briefed on the scenario so as to play their part in the drill appropriately. However, the role-playing is not essential as the drill requirement is for the security staff to detect the broken seals.
- (2) The drivers are to approach Port Facility security in the normal manner. They will comply with all procedures to transport the TEUs into the Port Facility.
- (3) The drivers of both trucks must carry good seals with them and be authorized to seal the TEUs after each drill event.
- (4) The Chief Controller will conduct the drill in accordance with the events listed in the Master Events List.
- (5) The Chief Controller should position himself at a suitable location to discreetly observe the proceedings.

15. **Participant briefing**

a. A briefing to participants should be scheduled if it is decided that the drill is to be announced (paragraph 11). The brief to participants should include the following:

- (1) Review of the previous drill, including the lessons learnt
- (2) Objectives and scenario of the drill to be conducted
- (3) The Port Facility's security instructions pertaining to the drill being conducted
- (4) Update on the ISPS Code and/or local regulations
- (5) Developments in maritime security (news, events, etc)



- b. It should not include information or details of the controllers' plans for the drill.

16. **Briefing Aids**

Briefing slides and notes are provided in the accompanying PowerPoint files. With entries for the names, dates, locations, etc. these may be used to conduct the briefing to controllers and to participants.

17. **Conditions**

The Port Facility is to proceed with its daily business as usual. No prior preparations on the part of the participants and/or security arrangements are required for the conduct of this drill.

18. **Performance Measurement**

Performance indicators should be established for this drill. Some may be dependent on the specific circumstances of the Port Facility. Ideally, performance indicators should be objective, but subjective ones may also be observed by the controllers, such as the degree of compliance with Port Facility security instructions in handling the truck drivers and the cargo after detection of the broken/missing seals.

CONCLUDING THE DRILL

- 19. The drill may be ended under the following circumstances:
 - a. After both vehicles have successfully entered the Port Facility premises without the broken/missing seals being detected.
 - or
 - b. The broken/missing seals are detected by the security staff.
 - or
 - c. Upon the Chief Controller's instruction.



20. Debrief

- a. Allow some time for the controllers and security staff to gather their thoughts on the events, in preparation for the debrief.
- b. Assemble all participating security staff for debrief.
- c. The Chief Controller should conduct the debrief.
- d. Appoint a note-taker to record the salient points of the discussion and in particular the lessons learnt and any follow-up actions required. Guidance should be provided to the note-taker as to what is to be recorded.

21. Reports

- a. Report the conduct of the drill to the management, either with a written report or verbally, as required by the management. An example of a report is provided at Appendix 5.
- b. If a written report is submitted, arrange for a briefing on the drill to be given at a management meeting to inform top management of the proceedings.

22. Records

An ISPS Drills and Exercises Record Book should be maintained by the Port Facility. The following is an example of an entry in the ISPS Drill and Exercises Record Book:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
<i>15/10/XX</i>	<i>Drill</i>	<i>Materials Handling - Cargo</i>	<i>D322 - Cargo without proper seals</i>	<i>PF/101/08-D322 dated xx/yy/zzzz</i>



D322 TIME-TABLE FOR PLANNING

DAYS TO DRILL	DATE	EVENT	CHECK
D -14	(calendar	Review the Guidelines	
D -14	dates to be	Confirm budget availability for items and/or services to be employed during the drill	
D -12	inserted)	Identify the drill control team	
D -10		Obtain management endorsement if it is required	
D -7		Refine or adjust the Master Events List if necessary	
D -5		Confirm the participants	
D -2		Brief the controllers and passenger and issue Letter of Identification, funds, etc.	
D day		Conduct the drill	
D day		Perform the debrief and record the lessons learnt	
D day		Record the conduct of the drill	
D +1		Prepare the written report on the drill	
D +2		Report the conduct of the drill to management	



CODE WORDS

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

CODE WORD	MEANING
Drill Start	The drill is to commence
Drill Suspend	The drill is temporarily suspended
Drill Go	The drill is to resume from where it was suspended
Drill Stop	The drill is to be terminated (prematurely)
Drill End	The drill is completed
For Exercise	The message or statement that follows this preamble relates to the drill only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the drill e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."



Port Facility

12 October XXXX

*The Security Officer
Port Facility*

LETTER OF IDENTIFICATION

This is to certify that *Mr. ABC* is a controller in a *Port Facility* maritime security drill being conducted on *17 October XXXX*. Please contact the undersigned and escort *Mr. ABC* to the Security Office.

signed
Mr. DEF
Port Facility Security Officer

**D322 MASTER EVENTS LIST**

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
<i>Date: 12 Oct 08</i>				
001	1600	<i>Controller briefing</i>		<i>Meeting point away from the Port Facility</i>
<i>Date: 17 Oct 08</i>				
002	0900	<i>Participant briefing*</i>		<i>Port Facility</i>
003	0930	<i>Controllers final briefing</i>		<i>Telephone briefing should be adequate</i>
004	1000	<i>Controllers at respective positions</i>		<i>Chief Controller at Port Facility office where cargo security is checked</i>
005	1030	<i>All security staff at respective positions</i>		<i>As appropriate</i>
006	1031	<i>Drill commence</i>		
007	1105	<i>Truck 1 to proceed to the Port Facility</i>	<i>Port Facility security staff should detect the broken seal</i>	<i>Port Facility vehicle entrance</i>
008	1410	<i>Truck 2 to proceed to the Port Facility</i>	<i>Port Facility security staff should detect that a seal is missing</i>	<i>Port Facility vehicle entrance</i>
009	1500	<i>Drill End</i>	<i>Dispersal of personnel</i>	
010	1530	<i>Debrief</i>	<i>Controllers and security staff to report findings and lessons learnt</i>	<i>Staff recreation room</i>
* Not required if the drill is to be conducted without prior notice to the participants				

**REPORT ON THE CONDUCT OF SECURITY DRILL D322**

Type of Drill	<i>Materials Handling - Cargo</i>
Drill Conducted	<i>Cargo without proper seals</i>
General objective	<i>To practice security staff in the screening of cargo entering the Port Facility</i>
Date and time	<i>15 October XXXX at 0945 hrs.</i>
Duration	<i>5 hrs</i>
Controllers	<i>Mr GHJ, Manager, Safety and Security – Chief controller Mr YHU, Driver, Truck 1 Mr KMJ, Driver, Truck 2</i>
Participants	<i>Security staff from Team 2 and Team 3 All participants were briefed on the conduct of this drill</i>
Significant events	<i>1. Two cargo vehicles were tasked to transport their cargo into the Port Facility with deficient cargo seals. 2. Truck 1 carried a TEU with a broken seal. The deficiency was not noticed by security staff, and the vehicle proceeded into the Port Facility. 3. Truck 2 had no seal on its TEU. Security staff noted this deficiency and refused the vehicle entry. Include photographs</i>



Lessons learnt	<p><i>1. Truck 1: Security staffs were not thorough in their checks of container seals, allowing a container through that could have been tampered to carry materials with which to attack the Port Facility or ships.</i></p> <p><i>2. Truck 2: Security staff noticed the missing seal on the cargo and stopped the vehicle for thorough checks.</i></p> <p>Include photographs if relevant</p>
Follow-up action	<p><i>1. All employees will be reminded to be alert to anomalies in cargo security and how these anomalies can represent a security threat.</i></p> <p><i>2. These reminders will be posted on Notice Boards for the next 2 weeks.</i></p>
Performance indicators	<p><i>1. Detection rate – 1/2</i></p> <p><i>2. The degree of compliance with Port Facility security instructions in handling:</i></p> <ul style="list-style-type: none"><i>a. Truck 1 driver and assistant – x%</i><i>b. Truck 2 driver and assistant – y%</i>
Total cost	\$xxx



Drill	D323
Category	Materials Handling
Type	Cargo
Subject	Discovery of unauthorized cargo on board a ship alongside
Security Level	1 and 2
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Vol I Part 1 – Guidelines for the Conduct of Maritime Security Drills 4. ISPS Code

INTRODUCTION

1. Port Facilities and ships have accountability for all cargo embarked on board ships. While the majority of cargo is handled accurately, there may be instances of lapses in accounting or handling of cargo that may provide an opportunity for unauthorized cargo, stores or items to be embarked. Should such unauthorized cargo be discovered by the ship, the Port Facility will have to be informed and follow-up action taken.
2. This drill will require the Port Facility security staff to respond to a report from a ship alongside that it had discovered unauthorized cargo on board.

AIM OF THE DRILL

3. **General Objective**

To practice security staff in the response to security incidents on board ships alongside the Port Facility.



4. **Specific Objectives**

- a. To practice security staff in the procedures for handling unauthorized cargo discovered and reported by a ship alongside.
- b. To test the lines of communications for reporting incidents on board ships alongside the Port Facility
- c. To enhance the security awareness of threats to the Port Facility
- d. Meet or better the specified benchmark response times for this drill.

REQUIRED ATTAINMENTS

5. On completion of the drill, Port Facility security staff will be able to:
 - a. Apply the procedures for reporting of security incidents on board ships alongside the Port Facility
 - b. Take action on unauthorized cargo found on board ships.
 - c. Detect anomalies in cargo security measures

PLANNING FOR THE DRILL

6. **Timetable**

The date for the conduct of this drill should be scheduled in the Port Facility's annual work program. The specific date would depend on the scheduled arrival of a ship at the Port Facility. Preparations for this drill should commence 2 weeks prior to the date of conduct. An example of a time-table for the preparation and conduct of this drill is given in Appendix 1

7. **Participation of the ship alongside**

The ship has a major role in this drill, and the ship's cooperation must be sought for the conduct. The ship must participate fully in the planning, and may wish to take the opportunity to conduct its own associated maritime security drill or exercise. The Chief Controller should hold a planning meeting with the SSO using these guidelines.



8. Personnel

a. Control Team

(1) The Chief Controller may be the Port Facility Security Officer (PFSO) or a manager in charge of security matters. Where the first line response by security staff involves the PFSO, a manager should be considered for the appointment of Chief Controller. This will free the PFSO to respond to the situation as it develops during the drill.

(2) The Ship Security Officer (SSO) should be appointed the Deputy Chief Controller.

(3) One member of the ship's crew.

b. Participants

The participants will be the Port Facility security staff.

c. Safety Officer

The appointment of a safety officer for this drill may be considered, but is not expected to be essential for this drill.

9. Resources

a. Unauthorized cargo

The Chief Controller will arrange with the SSO for cargo on board to simulate unauthorized cargo. Any cargo of appropriate volume and weight that may represent the unauthorized cargo being simulated e.g. contraband cigarettes, may be temporarily marked with their simulated identity.

b. Communications

(1) **Equipment**

(a) Mobile phone: It is recommended that mobile phones should be the preferred means of communications between the Chief Controller and the controllers, subject to the availability of a cell phone network at the location of the Port Facility.



(b) Walkie-talkie: When using walkie-talkies, note that they have a short range and short battery life. They are usually bulky and may not be easily concealed, and they may be subject to interference if left switched on, leading to discovery at awkward moments.

(2) **Code words**

Code words are used to provide brevity and clarity in communications during the conduct of a drill. A list of suggested code words is given in Appendix 2. The code words must be promulgated to all controllers and participants of the drill.

(3) **Security**

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

c. Other requirements

- (1) Location for the debrief
- (2) Refreshments e.g. during the debrief
- (3) Person to take notes during the debrief
- (4) Stationery for note-taking

10. **Safety**

a. Security staff activity in connection with this drill would be monitored by the Safety Officer, if one is appointed. The Safety Officer should station himself at a location where he would be:

- (1) Able to observe the majority of events
- (2) Near where potentially hazardous activity may take place
- (3) Accessible should he be required in a contingency

b. Controllers with roles as intruders or drivers, etc. should be issued with a letter of identification provided in Appendix 3 to forestall any undesirable action or behavior on the part of security staff toward them.



11. **Budget**

Funding may be needed for the following:

- a. Refreshments for the debrief.
- b. Reimbursement of expenses incurred by controllers or participants.

12. **Policy for disclosure**

- a. The Chief Controller should decide if the drill is to be announced (i.e. participants such as security staff will be notified of the conduct of the drill) or the conduct of the drill will not be announced beforehand (i.e. the participants will not be informed of the conduct of the drill).
- b. In deciding the mode, the following may be taken into consideration:
 - (1) Security - Where it is assessed that confidentiality is uncertain or difficult to maintain, it is preferable to opt for an announced drill.
 - (2) Organizational culture - Unannounced drills may be perceived as a test of the participants.

13. **Management endorsement**

The Chief Controller should seek approval from management for the conduct of the drill. Management should be informed of the drill prior to its conduct, even if formal approval is not required.

CONDUCTING THE DRILL

14. **Master Events List**

- a. The drill begins with a ship's crew member reporting to Port Facility security that a pallet of unauthorized cargo has been found on board. Although the ship is not certain, it believes that the unauthorized cargo had been embarked when the ship was alongside the Port Facility.
- b. The "injects" (simulated events) for the conduct of the drill are provided in the example of a Master Events List at Appendix 4. These would be introduced on schedule or on completion of the preceding event. Adjustments would be made by the Chief Controller to cater to the prevailing circumstances.



15. Controller briefing

a. The briefing to controllers will be conducted by the Chief Controller and should include the following:

- (1) Roles to be played by controllers.
- (2) Positions of controllers at the commencement of the drill.
- (3) Transport arrangements.
- (4) Suggested responses to questioning by security staff.
- (5) Safety measures.

b. Scenario

Unauthorized cargo has been smuggled on board. The ship has done a check of its Bills of Lading, and the contraband is not in its cargo manifest. The ship will also maintain that the unauthorized cargo was embarked at this Port Facility.

c. Tasks

- (1) The ship's crew will make a report on the unauthorized cargo to the Port Facility security office.
- (2) The Chief Controller will conduct the drill in accordance with the events listed in the Master Events List.
- (3) The Chief Controller should position himself at a suitable location to discreetly observe the proceedings.

16. Participant briefing

a. A briefing to participants should be scheduled if it is decided that the drill is to be announced (paragraph 12). The brief to participants should include the following:

- (1) Review of the previous drill, including the lessons learnt
- (2) Objectives and scenario of the drill to be conducted
- (3) The Port Facility's security instructions pertaining to the drill being conducted
- (4) Update on the ISPS Code and/or local regulations
- (5) Developments in maritime security (news, events, etc)



- b. It should not include information or details of the controllers' plans for the drill.

17. Briefing Aids

Briefing slides and notes are provided in the accompanying PowerPoint files. With entries for the names, dates, locations, etc. these may be used to conduct the briefing to controllers and to participants.

18. Conditions

The Port Facility is to proceed with its daily business as usual. No prior preparations on the part of the participants and/or security arrangements are required for the conduct of this drill.

19. Performance Measurement

- a. Performance indicators should be established for this drill. Some may be dependent on the specific circumstances of the Port Facility. Ideally, performance indicators should be objective, but subjective ones may also be observed by the controllers, e.g. the degree of compliance with Port Facility security instructions.
- b. The following objective performance indicators are the target benchmark response times to be achieved for this drill:

FROM	TO	DURATION (minutes)
Notification from the ship of unauthorized cargo	Mustering of response team	x
Mustering of response team	Deployment of response team	y
Confirmation of contraband (simulated)	Notification sent to local authority e.g. Police, Port Authority	z



CONCLUDING THE DRILL

20. The drill shall be ended under the following circumstances:
- a. When security staff have taken the appropriate actions to investigate the unauthorized cargo and process the report.
 - or
 - c. Upon the Chief Controller's instruction.
21. **Debrief**
- a. Allow some time for the controllers and security staff to gather their thoughts on the events, in preparation for the debrief.
 - b. Assemble all participating security staff for debrief
 - c. The Chief Controller should conduct the debrief
 - d. Appoint a note-taker to record the salient points of the discussion and in particular the lessons learnt and any follow-up actions required. Guidance should be provided to the note-taker as to what is to be recorded.
22. **Reports**
- a. Report the conduct of the drill to the management, either with a written report or verbally, as required by the management. An example of a report is provided at Appendix 5
 - b. If a written report is submitted, arrange for a briefing on the drill to be given at a management meeting to inform top management of the proceedings.



23. Records

An ISPS Drills and Exercises Record Book should be maintained by the Port Facility. The following is an example of an entry in the ISPS Drill and Exercises Record Book:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
<i>15/10/XX</i>	<i>Drill</i>	<i>Materials Handling - Cargo</i>	<i>D323 - Discovery of unauthorized cargo on board a ship alongside</i>	<i>PF/101/08-D323 dated xx/yy/zzzz</i>



D323 TIME-TABLE FOR PLANNING

DAYS TO DRILL	DATE	EVENT	CHECK
D -14	(calendar	Review the Guidelines	
D -14	dates to be	Confirm budget availability for items and/or services to be employed during the drill	
D -12	inserted)	Identify the drill control team	
D -10		Obtain management endorsement if it is required	
D -7		Refine or adjust the Master Events List if necessary	
D -5		Confirm the participants	
D -1		Engage the ship's crew and brief the controllers	
D day		Conduct the drill	
D day		Perform the debrief and record the lessons learnt	
D day		Record the conduct of the drill	
D +1		Prepare the written report on the drill	
D +2		Report the conduct of the drill to management	



CODE WORDS

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

CODE WORD	MEANING
Drill Start	The drill is to commence
Drill Suspend	The drill is temporarily suspended
Drill Go	The drill is to resume from where it was suspended
Drill Stop	The drill is to be terminated (prematurely)
Drill End	The drill is completed
For Exercise	The message or statement that follows this preamble relates to the drill only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the drill e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."



Port Facility

12 October XXXX

*The Security Officer
Port Facility*

LETTER OF IDENTIFICATION

This is to certify that *Mr. ABC* is a controller in a *Port Facility* maritime security drill being conducted on *17 October XXXX*. Please contact the undersigned and escort *Mr. ABC* to the Security Office.

signed
Mr. DEF
Port Facility Security Officer

**D323 MASTER EVENTS LIST**

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
<i>Date: 16 Oct XX</i>				
001	1600	<i>Controller engagement</i>		<i>Meeting on board the ship</i>
<i>Date: 17 Oct XX</i>				
002	0830	<i>Controllers final briefing</i>		<i>Telephone briefing should be adequate</i>
003	0930	<i>Participant briefing*</i>		<i>Staff canteen</i>
004	1000	<i>Controllers at respective positions</i>		<i>Chief Controller at Port Facility security office</i>
005	1030	<i>All security staff at respective positions</i>		<i>As appropriate</i>
006	1031	<i>Drill commence</i>		
007	1105	<i>Ship's crew to proceed to report the unauthorized cargo</i>	<i>Port Facility security staff should record the report, report to their supervisor, PFSO, etc, then proceed to inspect the cargo</i>	<i>Port Facility and ship</i>
008	1500	<i>Drill End</i>	<i>Dispersal of personnel</i>	
009	1530	<i>Debrief</i>	<i>Controllers and security staff to report findings and lessons learnt</i>	<i>Staff recreation room</i>
* Not required if the drill is to be conducted without prior notice to the participants				



REPORT ON THE CONDUCT OF SECURITY DRILL D323

Type of Drill	<i>Materials Handling - Cargo</i>
Drill Conducted	<i>Discovery of unauthorized cargo on board a ship alongside</i>
General objective	<i>To practice security staff in the response to security incidents within the Port Facility</i>
Date and time	<i>15 October XXXX at 0945 hrs.</i>
Duration	<i>5 hrs</i>
Controllers	<i>Mr GHJ, Manager, Safety and Security – Chief controller Mr UHJ SSO – Deputy Chief Controller Mr YHU, ship's crew</i>
Participants	<i>Security staff from Team 2 and Team 3 Participants were not briefed on the conduct of this drill</i>
Significant events	<i>1. Unauthorized cargo was reported to the Port Facility security office by a member of the ship's crew. 2. The security officer attending the report made a record in the incident log, and reported to his supervisor. The supervisor reported to the PFSO, and they visited the ship to inspect the cargo. It was confirmed that the cargo represented contraband items and the local Customs and Immigration agency was notified (simulated). Include photographs if relevant</i>



Lessons learnt	<p><i>1. Security staff adopted the correct procedures for handling the report by the ship's crew.</i></p> <p>Include photographs if relevant</p>
Follow-up action	<p><i>1. PFSO will send a letter of thanks to the ship for its participation.</i></p> <p><i>2. Security staff will be reminded on the procedures to be adopted for handling of reports of unauthorized cargo on board ships alongside.</i></p>
Performance indicators	<p><i>1. From Notification from the ship of unauthorized cargo to Mustering of response team – x minutes</i></p> <p><i>2. From Mustering of response team to Deployment of response team – y minutes</i></p> <p><i>3. From Confirmation of contraband (simulated) to Notification sent to local authority e.g. Police, Port Authority (simulated) – z minutes</i></p>
Total cost	<p>\$xxx</p>



Drill	D331
Category	Materials Handling
Type	Ship's stores
Subject	Vehicle delivering ship stores without proper documents
Security Level	1 and 2
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Vol I Part 1 – Guidelines for the Conduct of Maritime Security Drills 4. ISPS Code

INTRODUCTION

1. Ship chandlers, ship agents, freight forwarders, contractors and suppliers of all form and function have reason to deliver stores, goods and items to a ship at a Port Facility. Port Facility procedures would reasonably require such deliveries to be accompanied by appropriate documentation such as delivery orders or bills of lading, etc. which will allow the items to be checked against the documentation.

2. Two cargo trucks will attempt to deliver cargo with deficient accompanying documentation. This drill will require the Port Facility security staff to perform the procedures relating to the delivery of ships' stores that are not accompanied by the requisite documents.

AIM OF THE DRILL

3. **General Objective**

To practice security staff in the screening of the documentation for ship stores entering the Port Facility



4. **Specific Objectives**

- a. To practice the application of documentation control for ship stores entering the Port Facility.
- b. To practice security staff in the conduct of checks on vehicles entering the Port Facility.
- c. To enhance the security awareness of threats to the Port Facility.
- d. Meet or better the specified compliance benchmark for this drill.

REQUIRED ATTAINMENTS

5. On completion of the drill, Port Facility security staff will be able to:
 - a. Apply the procedures for the screening of vehicles entering the Port Facility.
 - b. check the documentation for ship stores entering the Port Facility.
 - c. detect anomalies in the documentation for ship stores.

PLANNING FOR THE DRILL

6. **Timetable**

The date for the conduct of this drill should be scheduled in the Port Facility's annual work program. The specific date would depend on the scheduled arrival of a ship at the Port Facility. Preparations for this drill should commence 2 weeks prior to the date of conduct. An example of a time-table for the preparation and conduct of this drill is given in Appendix 1.

7. **Personnel**

- a. Control Team

- (1) The Chief Controller may be the Port Facility Security Officer (PFSO) or a manager in charge of security matters. Where the first line response by security staff involves the PFSO, a manager should be considered for the appointment of Chief Controller. This will free the PFSO to respond to the situation as it develops during the drill.



(2) Drivers and assistants (if any) of two delivery vehicles.

b. Participants

The participants will be the Port Facility security staff.

c. Safety Officer

The appointment of a safety officer for this drill may be considered, but is not expected to be essential for this drill.

8. **Resources**

a. Cargo and Vehicles

The Chief Controller should arrange with suppliers or contractors for two consignments of ship's stores in two vehicles to participate in the drill. All standard procedures for the consignments should be complied with, except that incorrect documentation will accompany the deliveries. Arrangements are to be made with the participating companies to issue a set of "for exercise" documents and/or withhold the appropriate documents accordingly. The proper documentation must also be available to process the stores normally after each of the two drill events.

b. Communications

(1) **Equipment**

(a) Mobile phone: It is recommended that mobile phones should be the preferred means of communications between the Chief Controller and the controllers, subject to the availability of a cell phone network at the location of the Port Facility.

(b) Walkie-talkie: When using walkie-talkies, note that they have a short range and short battery life. They are usually bulky and may not be easily concealed, and they may be subject to interference if left switched on, leading to discovery at awkward moments.



(2) **Code words**

Code words are used to provide brevity and clarity in communications during the conduct of a drill. A list of suggested code words is given in Appendix 2. The code words must be promulgated to all controllers and participants of the drill.

(3) **Security**

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

c. Other requirements

- (1) Location for the debrief
- (2) Refreshments e.g. during the debrief
- (3) Person to take notes during the debrief
- (4) Stationery for note-taking

9. **Safety**

a. Security staff activity in connection with this drill would be monitored by the Safety Officer, if one is appointed. The Safety Officer should station himself at a location where he would be:

- (1) Able to observe the majority of events
- (2) Near where potentially hazardous activity may take place
- (3) Accessible should he be required in a contingency

b. Controllers with roles as intruders or drivers, etc. should be issued with a letter of identification provided in Appendix 3 to forestall any undesirable action or behavior on the part of security staff toward them.

10. **Budget**

Funding may be needed for the following:

- a. Employment of drivers and their vehicles.
- b. Refreshments for the debrief.
- c. Reimbursement of expenses incurred by controllers or staff.



11. Policy for disclosure

- a. The Chief Controller should decide if the drill is to be announced (i.e. participants such as security staff will be notified of the conduct of the drill) or the conduct of the drill will not be announced beforehand (i.e. the participants will not be informed of the conduct of the drill).
- b. In deciding the mode, the following may be taken into consideration:
 - (1) Security - Where it is assessed that confidentiality is uncertain or difficult to maintain, it is preferable to opt for an announced drill.
 - (2) Organizational culture - Unannounced drills may be perceived as a test of the participants.
- c. This drill is likely to impact on the ship, or her crew, agents, suppliers or contractors, as stores delivery will be affected. The ship should be notified of the drill in advance.

12. Management endorsement

The Chief Controller should seek approval from management for the conduct of the drill. Management should be informed of the drill prior to its conduct, even if formal approval is not required.

CONDUCTING THE DRILL

13. Master Events List

- a. The drill begins with the entry into the Port Facility of the first vehicle, bearing a routine legitimate consignment of stores for a ship.
- b. After a suitable interval, the second vehicle will seek entry with another legitimate consignment of stores for a ship.
- c. The “injects” (simulated events) for the conduct of the drill are provided in the example of a Master Events List at Appendix 4. These would be introduced on schedule or on completion of the preceding event. Adjustments would be made by the Chief Controller to cater to the prevailing circumstances.



14. **Controller briefing**

a. The briefing to controllers will be conducted by the Chief Controller and should include the following:

- (1) Roles to be played by controllers.
- (2) Positions of controllers at the commencement of the drill.
- (3) Transport arrangements.
- (4) Suggested responses to questioning by security staff.
- (5) Safety measures.

b. Scenario

Two vehicles are to enter the Port Facility in order to deliver ship stores. Each vehicle is a separate event and their activities are unrelated to each other. They should be directed to access the Port Facility at different times during the day.

c. Tasks

- (1) The drivers are to approach Port Facility security in the normal manner and attempt entry with bona fide ship stores. They will comply with all procedures to transport the ship stores into the Port Facility.
 - (a) Vehicle 1 will attempt entry with wrong documentation such as a Delivery Order for a different cargo.
 - (b) Vehicle 2 will attempt entry with incomplete documentation such as a missing Delivery Order.
- (2) Both vehicles must carry the correct documentation in order to process the deliveries normally, after each drill event.
- (3) The Chief Controller will conduct the drill in accordance with the events listed in the Master Events List.
- (4) The Chief Controller should position himself at a suitable location to discreetly observe the proceedings.



15. Participant briefing

a. A briefing to participants should be scheduled if it is decided that the drill is to be announced (paragraph 11). The brief to participants should include the following:

- (1) Review of the previous drill, including the lessons learnt
- (2) Objectives and scenario of the drill to be conducted
- (3) The Port Facility's security instructions pertaining to the drill being conducted
- (4) Update on the ISPS Code and/or local regulations
- (5) Developments in maritime security (news, events, etc)

b. It should not include information or details of the controllers' plans for the drill.

16. Briefing Aids

Briefing slides and notes are provided in the accompanying PowerPoint files. With entries for the names, dates, locations, etc. these may be used to conduct the briefing to controllers and to participants.

17. Conditions

The Port Facility is to proceed with its daily business as usual. No prior preparations on the part of the participants and/or security arrangements are required for the conduct of this drill.

18. Performance Measurement

Performance indicators should be established for this drill. Some may be dependent on the specific circumstances of the Port Facility. Ideally, performance indicators should be objective, but subjective ones may also be observed by the controllers, such as the degree of compliance with Port Facility security instructions in handling the deliveries without the appropriate documentation.



CONCLUDING THE DRILL

19. The drill may be ended under the following circumstances:
- a. After both vehicles have successfully entered the Port Facility premises without any concerns being raised by security staff on the incorrect documentation.
 - or
 - b. When security staffs detect and query the incorrect documentation for the delivery of ships stores, with the drivers of both vehicles.
 - or
 - c. Upon the Chief Controller's instruction.
20. **Debrief**
- a. Allow some time for the controllers and security staff to gather their thoughts on the events, in preparation for the debrief.
 - b. Assemble all participating security staff for debrief.
 - c. The Chief Controller should conduct the debrief.
 - d. Appoint a note-taker to record the salient points of the discussion and in particular the lessons learnt and any follow-up actions required. Guidance should be provided to the note-taker as to what is to be recorded.
21. **Reports**
- a. Report the conduct of the drill to the management, either with a written report or verbally, as required by the management. An example of a report is provided at Appendix 5.
 - b. If a written report is submitted, arrange for a briefing on the drill to be given at a management meeting to inform top management of the proceedings.



22. Records

An ISPS Drills and Exercises Record Book should be maintained by the Port Facility. The following is an example of an entry in the ISPS Drill and Exercises Record Book:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
<i>15/10/XX</i>	<i>Drill</i>	<i>Materials Handling - Ship's stores</i>	<i>D331 - Vehicle delivering ships stores without proper documents</i>	<i>PF/101/08-D331 dated xx/yy/zzzz</i>



D331 TIME-TABLE FOR PLANNING

DAYS TO DRILL	DATE	EVENT	CHECK
D -14	(calendar	Review the Guidelines	
D -14	dates to be	Confirm budget availability for items and/or services to be employed during the drill	
D -12	inserted)	Identify the drill control team	
D -10		Obtain management endorsement if it is required	
D -7		Refine or adjust the Master Events List if necessary	
D -5		Confirm the participants	
D -2		Brief the controllers and issue Letter of Identification, funds, etc.	
D day		Conduct the drill	
D day		Perform the debrief and record the lessons learnt	
D day		Record the conduct of the drill	
D +1		Prepare the written report on the drill	
D +2		Report the conduct of the drill to management	



CODE WORDS

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

CODE WORD	MEANING
Drill Start	The drill is to commence
Drill Suspend	The drill is temporarily suspended
Drill Go	The drill is to resume from where it was suspended
Drill Stop	The drill is to be terminated (prematurely)
Drill End	The drill is completed
For Exercise	The message or statement that follows this preamble relates to the drill only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the drill e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."



Port Facility

12 October XXXX

*The Security Officer
Port Facility*

LETTER OF IDENTIFICATION

This is to certify that *Mr. ABC* is a controller in a *Port Facility* maritime security drill being conducted on *17 October XXXX*. Please contact the undersigned and escort *Mr. ABC* to the Security Office.

signed
Mr. DEF
Port Facility Security Officer



D331 MASTER EVENTS LIST

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
<i>Date: 12 Oct XX</i>				
001	1600	<i>Controller briefing</i>		<i>Meeting point away from the Port Facility</i>
<i>Date: 17 Oct XX</i>				
002	0900	<i>Participant briefing*</i>		<i>Port Facility</i>
003	0930	<i>Controllers final briefing</i>		<i>Telephone briefing should be adequate</i>
004	1000	<i>Controllers at respective positions</i>		<i>Chief Controller at Port Facility security office where cargo documents are submitted</i>
005	1030	<i>All security staff at respective positions</i>		<i>As appropriate</i>
006	1031	<i>Drill commence</i>		
007	1105	<i>Vehicle 1 to proceed to the Port Facility</i>	<i>Port Facility security staff should be able to recognize the deficiency in the ships stores documentation submitted by the driver</i>	<i>Port Facility vehicle entrance</i>
008	1410	<i>Vehicle 2 to proceed to the Port Facility</i>	<i>Port Facility security staff should enquire about the missing documentation</i>	<i>Port Facility vehicle entrance</i>
009	1500	<i>Drill End</i>	<i>Dispersal of personnel</i>	
010	1530	<i>Debrief</i>	<i>Controllers and security staff to report findings and lessons learnt</i>	<i>Staff recreation room</i>
* Not required if the drill is to be conducted without prior notice to the participants				



REPORT ON THE CONDUCT OF SECURITY DRILL D331

Type of Drill	<i>Materials Handling – Ships stores</i>
Drill Conducted	<i>Vehicle delivering ships stores without proper documents</i>
General objective	<i>To practice security staff in the screening of the documentation for ship stores entering the Port Facility</i>
Date and time	<i>15 October XXXX at 1000 hrs</i>
Duration	<i>5 hrs</i>
Controllers	<i>Mr GHJ, Manager, Safety and Security – Chief controller Mr YHU, Driver, Vehicle 1 Mr KMJ, Driver, Vehicle 2</i>
Participants	<i>Security staff from Team 2 and Team 3 Participants were not briefed on the conduct of this drill</i>
Significant events	<i>1. Two vehicles were tasked to transport ships stores into the Port Facility without proper documentation. 2. Vehicle 1 held a Delivery Order for a different cargo. The error was spotted immediately by security staff, and the vehicle refused entry. 3. Vehicle 2 had all other documentation except the Delivery Order. Security staff also noted this deficiency and refused the vehicle entry. Include photographs if relevant</i>



Lessons learnt	<p><i>1. Security staff are adequately trained and experienced to spot anomalies in the documentation for ships stores deliveries.</i></p> <p><i>2. Errors in documentation may be genuine mistakes, but may also conceal security threats such as stores switched for explosives or contraband.</i></p> <p>Include photographs if relevant</p>
Follow-up action	<p><i>1. All employees will be reminded to be alert to anomalies in stores documentation and how these anomalies can represent a security threat.</i></p> <p><i>2. These reminders will be posted on Notice Boards for the next 2 weeks.</i></p>
Performance indicators	<p><i>1. Detection rate – 2/2</i></p> <p><i>2. The degree of compliance with Port Facility security instructions in handling:</i></p> <ul style="list-style-type: none"><i>a. Vehicle 1 driver and assistant – x%</i><i>b. Vehicle 2 driver and assistant – y%</i>
Total cost	\$xxx



Drill	D332
Category	Materials Handling
Type	Ship's stores
Subject	Delivery of ship stores without prior notice
Security Level	1 and 2
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Vol I Part 1 – Guidelines for the Conduct of Maritime Security Drills 4. ISPS Code

INTRODUCTION

1. Ship chandlers, ship agents, freight forwarders, contractors and suppliers of all form and function have reason to deliver stores, goods and items to a ship at a Port Facility. Port Facility procedures would reasonably require such deliveries to be pre-arranged and the arrival at the Port Facility anticipated by security staff. However, it is unrealistic to expect that entry to the Port Facility would be disallowed unless this has been complied with.

2. Two vehicles with consignments of ships stores for a ship alongside will attempt to make their deliveries without informing the Port Facility in advance. This drill will require the Port Facility staff to perform the appropriate security checks on deliveries of ships' stores for which no prior notification had been made to the Port Facility.

AIM OF THE DRILL

3. **General Objective**

To practice security staff in the processing of ship stores deliveries to the Port Facility.



4. **Specific Objectives**

- a. To practice the procedures for the control of deliveries to the Port Facility.
- b. To practice security staff in the conduct of checks on vehicles entering the Port Facility.
- c. To enhance the security awareness of threats to the Port Facility.
- d. Meet or better the specified compliance benchmark for this drill.

REQUIRED ATTAINMENTS

5. On completion of the drill, Port Facility security staff will be able to:
 - a. Apply the procedures for the screening of vehicles entering the Port Facility.
 - b. Check the appointments for delivery of ship stores at the specified date and time.
 - c. Detect anomalies in the documentation for ship stores.

PLANNING FOR THE DRILL

6. **Timetable**

The date for the conduct of this drill should be scheduled in the Port Facility's annual work program. The specific date would depend on the scheduled arrival of a ship at the Port Facility. Preparations for this drill should commence 2 weeks prior to the date of conduct. An example of a time-table for the preparation and conduct of this drill is given in Appendix 1.

7. **Personnel**

- a. Control Team

- (1) The Chief Controller may be the Port Facility Security Officer (PFSO) or a manager in charge of security matters. Where the first line response by security staff involves the PFSO, a manager should be considered for the appointment of Chief Controller. This will free the PFSO to respond to the situation as it develops during the drill.



(2) Drivers and assistants (if any) of two delivery vehicles.

b. Participants

The participants will be the Port Facility security staff.

c. Safety Officer

The appointment of a safety officer for this drill may be considered, but is not expected to be essential for this drill.

8. **Resources**

a. Cargo and Vehicles

The Chief Controller should arrange with freight forwarders, suppliers or contractors for two consignments of ship's stores in two vehicles to participate in the drill. All standard procedures for the consignments should be complied with, except that the consignors should be told not to inform the Port Facility in advance about the delivery.

b. Communications

(1) **Equipment**

(a) Mobile phone: It is recommended that mobile phones should be the preferred means of communications between the Chief Controller and the controllers, subject to the availability of a cell phone network at the location of the Port Facility.

(b) Walkie-talkie: When using walkie-talkies, note that they have a short range and short battery life. They are usually bulky and may not be easily concealed, and they may be subject to interference if left switched on, leading to discovery at awkward moments.

(2) **Code words**

Code words are used to provide brevity and clarity in communications during the conduct of a drill. A list of suggested code words is given in Appendix 2. The code words must be promulgated to all controllers and participants of the drill.



(3) **Security**

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

c. Other requirements

- (1) Location for the debrief
- (2) Refreshments e.g. during the debrief
- (3) Person to take notes during the debrief
- (4) Stationery for note-taking

9. **Safety**

a. Security staff activity in connection with this drill would be monitored by the Safety Officer, if one is appointed. The Safety Officer should station himself at a location where he would be:

- (1) Able to observe the majority of events
- (2) Near where potentially hazardous activity may take place
- (3) Accessible should he be required in a contingency

b. Controllers with roles as intruders or drivers, etc. should be issued with a letter of identification provided in Appendix 3 to forestall any undesirable action or behavior on the part of security staff toward them.

10. **Budget**

Funding may be needed for the following:

- a. Employment of drivers and their vehicles.
- b. Refreshments for the debrief.
- d. Reimbursement of expenses incurred by controllers or staff.

11. **Policy for disclosure**

a. The Chief Controller should decide if the drill is to be announced (i.e. participants such as security staff will be notified of the conduct of the drill) or the conduct of the drill will not be announced beforehand (i.e. the participants will not be informed of the conduct of the drill).



- b. In deciding the mode, the following may be taken into consideration:
 - (1) Security - Where it is assessed that confidentiality is uncertain or difficult to maintain, it is preferable to opt for an announced drill.
 - (2) Organizational culture - Unannounced drills may be perceived as a test of the participants.
- c. This drill is likely to impact on ships, or their crew, agents, suppliers or contractors, as stores delivery will be affected. The ship should be notified in advance of the drill.

12. **Management endorsement**

The Chief Controller should seek approval from management for the conduct of the drill. Management should be informed of the drill prior to its conduct, even if formal approval is not required.

CONDUCTING THE DRILL

13. **Master Events List**

- a. The drill begins with the entry into the Port Facility of the first vehicle, bearing a routine legitimate consignment of stores for a ship.
- b. After a suitable interval, the second vehicle will seek entry with another legitimate consignment of stores for a ship.
- c. The “injects” (simulated events) for the conduct of the drill are provided in the example of a Master Events List at Appendix 4. These would be introduced on schedule or on completion of the preceding event. Adjustments would be made by the Chief Controller to cater to the prevailing circumstances.

14. **Controller briefing**

- a. The briefing to controllers will be conducted by the Chief Controller and should include the following:
 - (1) Roles to be played by controllers.
 - (2) Positions of controllers at the commencement of the drill.
 - (3) Transport arrangements.
 - (4) Suggested responses to questioning by security staff.
 - (5) Safety measures.



b. Scenario

Two vehicles are to enter the Port Facility in order to deliver ship stores. Each vehicle is a separate event and their activities are unrelated to each other. They should be directed to access the Port Facility at different times during the day.

c. Tasks

- (1) The drivers are to approach Port Facility security in the normal manner and attempt entry with bona fide ships stores and documentation, with the exception of prior notification to the Port facility of their delivery. They will comply with all procedures to transport the ship stores into the Port Facility.
- (2) The Chief Controller will conduct the drill in accordance with the events listed in the Master Events List.
- (3) The Chief Controller should position himself at a suitable location to discreetly observe the proceedings.

15. **Participant briefing**

a. A briefing to participants should be scheduled if it is decided that the drill is to be announced (paragraph 11). The brief to participants should include the following:

- (1) Review of the previous drill, including the lessons learnt
- (2) Objectives and scenario of the drill to be conducted
- (3) The Port Facility's security instructions pertaining to the drill being conducted
- (4) Update on the ISPS Code and/or local regulations
- (5) Developments in maritime security (news, events, etc)

b. It should not include information or details of the controllers' plans for the drill.



16. Briefing Aids

Briefing slides and notes are provided in the accompanying PowerPoint files. With entries for the names, dates, locations, etc. these may be used to conduct the briefing to controllers and to participants.

17. Conditions

The Port Facility is to proceed with its daily business as usual. No prior preparations on the part of the participants and/or security arrangements are required for the conduct of this drill.

18. Performance Measurement

Performance indicators should be established for this drill. Some may be dependent on the specific circumstances of the Port Facility. Ideally, performance indicators should be objective, but subjective ones may also be observed by the controllers, such as the degree of compliance with Port Facility security instructions in handling the requests for delivery without prior notification to the Port Facility.

CONCLUDING THE DRILL

19. The drill may be ended under the following circumstances:

- a. After both vehicles have successfully entered the Port Facility premises without any concerns being raised by security staff on the lack of prior notice for the delivery.
or
- b. When security staffs raise the issue of prior notification being required for the delivery of ships stores, with the drivers of both vehicles.
or
- c. Upon the Chief Controller's instruction.



20. Debrief

- a. Allow some time for the controllers and security staff to gather their thoughts on the events, in preparation for the debrief.
- b. Assemble all participating security staff for debrief.
- c. The Chief Controller should conduct the debrief.
- d. Appoint a note-taker to record the salient points of the discussion and in particular the lessons learnt and any follow-up actions required. Guidance should be provided to the note-taker as to what is to be recorded.

21. Reports

- a. Report the conduct of the drill to the management, either with a written report or verbally, as required by the management. An example of a report is provided at Appendix 5.
- b. If a written report is submitted, arrange for a briefing on the drill to be given at a management meeting to inform top management of the proceedings.

22. Records

An ISPS Drills and Exercises Record Book should be maintained by the Port Facility. The following is an example of an entry in the ISPS Drill and Exercises Record Book:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
<i>15/10/XX</i>	<i>Drill</i>	<i>Materials Handling - Ship's stores</i>	<i>D332 - Delivery of ship stores without prior notice</i>	<i>PF/101/08-D332 dated xx/yy/zzzz</i>



D332 TIME-TABLE FOR PLANNING

DAYS TO DRILL	DATE	EVENT	CHECK
D -14	(calendar	Review the Guidelines	
D -14	dates to be	Confirm budget availability for items and/or services to be employed during the drill	
D -12	inserted)	Identify the drill control team	
D -10		Obtain management endorsement if it is required	
D -7		Refine or adjust the Master Events List if necessary	
D -5		Confirm the participants	
D -2		Brief the controllers and issue Letter of Identification, funds, etc.	
D day		Conduct the drill	
D day		Perform the debrief and record the lessons learnt	
D day		Record the conduct of the drill	
D +1		Prepare the written report on the drill	
D +2		Report the conduct of the drill to management	



CODE WORDS

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

CODE WORD	MEANING
Drill Start	The drill is to commence
Drill Suspend	The drill is temporarily suspended
Drill Go	The drill is to resume from where it was suspended
Drill Stop	The drill is to be terminated (prematurely)
Drill End	The drill is completed
For Exercise	The message or statement that follows this preamble relates to the drill only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the drill e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."



Port Facility

12 October XXXX

*The Security Officer
Port Facility*

LETTER OF IDENTIFICATION

This is to certify that *Mr. ABC* is a controller in a *Port Facility* maritime security drill being conducted on *17 October XXXX*. Please contact the undersigned and escort *Mr. ABC* to the Security Office.

signed
Mr. DEF
Port Facility Security Officer

**D332 MASTER EVENTS LIST**

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
<i>Date: 12 Oct XX</i>				
001	1600	<i>Controller briefing</i>		<i>Meeting point away from the Port Facility</i>
<i>Date: 17 Oct XX</i>				
002	0900	<i>Participant briefing*</i>		<i>Port facility</i>
003	0930	<i>Controllers final briefing</i>		<i>Telephone briefing should be adequate</i>
004	1000	<i>Controllers at respective positions</i>		<i>Chief Controller at Port Facility security office where cargo documents are submitted</i>
005	1030	<i>All security staff at respective positions</i>		<i>As appropriate</i>
006	1031	<i>Drill commence</i>		
007	1105	<i>Vehicle 1 to proceed to the Port Facility</i>	<i>Port Facility security staff should note that no prior appointment had been made for the delivery</i>	<i>Port Facility vehicle entrance</i>
008	1410	<i>Vehicle 2 to proceed to the Port Facility</i>	<i>Port Facility security staff should note that no prior appointment had been made for the delivery</i>	<i>Port Facility vehicle entrance</i>
009	1500	<i>Drill End</i>	<i>Dispersal of personnel</i>	
010	1530	<i>Debrief</i>	<i>Controllers and security staff to report findings and lessons learnt</i>	<i>Staff recreation room</i>
<i>* Not required if the drill is to be conducted without prior notice to the participants</i>				

**REPORT ON THE CONDUCT OF SECURITY DRILL D332**

Type of Drill	<i>Materials Handling – Ships’ stores</i>
Drill Conducted	<i>Delivery of ship stores without prior notice</i>
General objective	<i>To practice security staff in the procedures for delivery of ships’ stores to the Port Facility</i>
Date and time	<i>15 October XXXX at 0900 hrs.</i>
Duration	<i>5 hrs</i>
Controllers	<i>Mr GHJ, Manager, Safety and Security – Chief controller Mr YHU, Driver, Vehicle 1 Mr KMJ, Driver, Vehicle 2</i>
Participants	<i>Security staff from Team 2 and Team 3 Participants were not briefed on the conduct of this drill</i>
Significant events	<i>1. Two vehicles were tasked to transport ships stores into the Port Facility without prior notification. 2. Both drivers were queried by security staff about the lack of notification for their delivery. The correct procedures were adopted to check the deliveries, and the stores were allowed entry. Include photographs if relevant</i>



Lessons learnt	<p><i>1. Security staff are adequately trained and experienced to ensure that suppliers comply with Port Facility procedures.</i></p> <p>Include photographs if relevant</p>
Follow-up action	<p><i>1. All security staff will be reminded to be alert to ship stores suppliers trying to enter the Port Facility for deliveries without prior notification.</i></p> <p><i>2. These reminders will be posted on the Security Office Notice Boards for the next 2 weeks.</i></p>
Performance indicators	<p><i>1. Detection rate – 2/2</i></p> <p><i>2. The degree of compliance with Port Facility security instructions in handling:</i></p> <ul style="list-style-type: none"><i>a. Vehicle 1 driver and assistant – x%</i><i>b. Vehicle 2 driver and assistant – y%</i>
Total cost	\$xxx



Drill	D333
Category	Materials Handling
Type	Ship's stores
Subject	Unauthorized item found in vehicle delivering ship stores
Security Level	1 and 2
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Vol I Part 1 – Guidelines for the Conduct of Maritime Security Drills 4. ISPS Code

INTRODUCTION

1. Ship chandlers, ship agents, freight forwarders, contractors and suppliers of all form and function have reason to access a ship at a Port Facility. Their carriage of stores and cargo that may be hijacked or contain unauthorized items makes them a security concern of some significance.

2. Two vehicles making deliveries to the Port Facility with consignments of ships stores will carry unauthorized and unaccounted items in them. This drill will require the Port Facility staff to detect and recognize these unauthorized items as such among the supplies delivered to the Port Facility, and respond appropriately to the threat when found.

AIM OF THE DRILL

3. **General Objective**

To practice port security staff in the screening of vehicles entering Port Facility premises



4. **Specific Objectives**

- a. To develop the vigilance of security staff in the observation of vehicles entering the Port Facility
- b. To practice security staff in the conduct of checks on ships stores entering the Port Facility
- c. To enhance the security awareness of threats to the Port Facility
- d. Meet or better the specified compliance benchmark for this drill.

REQUIRED ATTAINMENTS

5. On completion of the drill, Port Facility security staff will be able to:
 - a. Apply the procedures in the Port Facility security instructions for the screening of vehicles entering the Port Facility
 - b. Detect suspicious items or goods in vehicles entering the Port Facility
 - c. Act on their suspicions to check such persons and vehicles thoroughly

PLANNING FOR THE DRILL

6. **Timetable**

The date for the conduct of this drill should be scheduled in the Port Facility's annual work program. The specific date would depend on the scheduled arrival of a ship at the Port Facility. Preparations for this drill should commence 2 weeks prior to the date of conduct. An example of a time-table for the preparation and conduct of this drill is given in Appendix 1

7. **Personnel**

- a. Control Team

- (1) The Chief Controller may be the Port Facility Security Officer (PFSO) or a manager in charge of security matters. Where the first line response by security staff involves the PFSO, a manager should be considered for the appointment of Chief Controller. This will free the PFSO to respond to the situation as it develops during the drill.



- (2) Drivers and assistants (if any) of two delivery vehicles.

b. Participants

The participants will be the Port Facility security staff.

c. Safety Officer

The appointment of a safety officer for this drill should be considered.

8. **Resources**

a. Cargo and Vehicles

The Chief Controller should arrange with freight forwarders, suppliers or contractors for two consignments of ship's stores in two vehicles to participate in the drill, with the following items loaded on the vehicles at source.

- (1) Vehicle 1 will include two LPG gas cylinders in the cargo. The gas cylinders should not be hidden, and should not be listed in the delivery order.
- (2) Vehicle 2 should carry a video camera in its glove compartment.

b. Communications

(1) **Equipment**

(a) Mobile phone: It is recommended that mobile phones should be the preferred means of communications between the Chief Controller and the controllers, subject to the availability of a cell phone network at the location of the Port Facility.

(b) Walkie-talkie: When using walkie-talkies, note that they have a short range and short battery life. They are usually bulky and may not be easily concealed, and they may be subject to interference if left switched on, leading to discovery at awkward moments.



(2) **Code words**

Code words are used to provide brevity and clarity in communications during the conduct of a drill. A list of suggested code words is given in Appendix 2. The code words must be promulgated to all controllers and participants of the drill.

(3) **Security**

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

c. Other requirements

- (1) Two LPG gas cylinders
- (2) Video camera
- (3) Location for the debrief
- (4) Refreshments e.g. during the debrief
- (5) Person to take notes during the debrief
- (6) Stationery for note-taking

9. **Safety**

a. Security staff activity in connection with this drill would be monitored by the Safety Officer, if one is appointed. The Safety Officer should station himself at a location where he would be:

- (1) Able to observe the majority of events
- (2) Near where potentially hazardous activity may take place
- (3) Accessible should he be required in a contingency

b. Controllers with roles as intruders or drivers, etc. should be issued with a letter of identification provided in Appendix 3 to forestall any undesirable action or behavior on the part of security staff toward them.

10. **Budget**

Funding may be needed for the following:

- a. Employment of drivers and their vehicles.
- b. Hire of LPG gas cylinders.
- c. Hire of video camera.



- d. Refreshments for the debrief.
- f. Reimbursement of expenses incurred by controllers or staff.

11. **Policy for disclosure**

- a. The Chief Controller should decide if the drill is to be announced (i.e. participants such as security staff will be notified of the conduct of the drill) or the conduct of the drill will not be announced beforehand (i.e. the participants will not be informed of the conduct of the drill).
- b. In deciding the mode, the following may be taken into consideration:
 - (1) Security - Where it is assessed that confidentiality is uncertain or difficult to maintain, it is preferable to opt for an announced drill.
 - (2) Organizational culture - Unannounced drills may be perceived as a test of the participants.
- c. This drill is likely to impact on the ship, or her crew, agents, suppliers or contractors, as stores delivery will be affected. The ship should be notified of the drill in advance.

12. **Management endorsement**

The Chief Controller should seek approval from management for the conduct of the drill. Management should be informed of the drill prior to its conduct, even if formal approval is not required.

CONDUCTING THE DRILL

13. **Master Events List**

- a. The drill begins with the entry into the Port Facility of Vehicle 1, bearing a routine legitimate consignment of stores for a ship. Included in the stores are two LPG gas cylinders that are not listed in the delivery order. Port Facility security staffs are expected to detect and deal with the presence of the gas cylinders.
- b. After a suitable interval, the second vehicle will seek entry with a legitimate consignment of stores for a ship. The vehicle will carry a video camera in its glove compartment or in the driving cabin. Port Facility security staffs are expected to detect and deal with the presence of the video camera.



c. The “injects” (simulated events) for the conduct of the drill are provided in the example of a Master Events List at Appendix 4. These would be introduced on schedule or on completion of the preceding event. Adjustments would be made by the Chief Controller to cater to the prevailing circumstances.

14. **Controller briefing**

a. The briefing to controllers will be conducted by the Chief Controller and should include the following:

- (1) Roles to be played by controllers.
- (2) Positions of controllers at the commencement of the drill.
- (3) Transport arrangements.
- (4) Suggested responses to questioning by security staff.
- (5) Safety measures.

b. Scenario

Two vehicles are to enter the Port Facility in order to deliver ship stores. Each vehicle is a separate event and their activities are unrelated to each other. They should be directed to access the Port Facility at different times during the day.

c. Tasks

- (1) The drivers of the vehicles carrying the consignment of stores are to approach Port Facility security in their normal manner and submit the appropriate documents. The drivers will submit their Delivery Orders for inspection of the stores and comply with the specified procedures to transport the stores into the Port Facility.
- (2) The LPG gas cylinders will be loaded in the first vehicle but not listed in the Delivery Order. They are not to be hidden.
- (3) The video camera will be placed in the glove compartment of the second vehicle. It should not be hidden.
- (4) The Chief Controller will conduct the drill in accordance with the events listed in the Master Events List.
- (5) The Chief Controller should position himself at a suitable location to discreetly observe the proceedings.



15. Participant briefing

a. A briefing to participants should be scheduled if it is decided that the drill is to be announced (paragraph 11). The brief to participants should include the following:

- (1) Review of the previous drill, including the lessons learnt
- (2) Objectives and scenario of the drill to be conducted
- (3) The Port Facility's security instructions pertaining to the drill being conducted
- (4) Update on the ISPS Code and/or local regulations
- (5) Developments in maritime security (news, events, etc)

b. It should not include information or details of the controllers' plans for the drill.

16. Briefing Aids

Briefing slides and notes are provided in the accompanying PowerPoint files. With entries for the names, dates, locations, etc. these may be used to conduct the briefing to controllers and to participants.

17. Conditions

The Port Facility is to proceed with its daily business as usual. No prior preparations on the part of the participants and/or security arrangements are required for the conduct of this drill.

18. Performance Measurement

Performance indicators should be established for this drill. Some may be dependent on the specific circumstances of the Port Facility. Ideally, performance indicators should be objective, but subjective ones may also be observed by the controllers, as follows:

- a. Were the unauthorized items detected?



- b. The degree of compliance with Port Facility security instructions in handling:
 - (1) The vehicle driver and assistant (if any).
 - (2) The unauthorized items.

CONCLUDING THE DRILL

- 19. The drill may be ended under the following circumstances:
 - a. After the second vehicle has successfully entered the Port Facility premises with the camera undetected in the glove compartment.
or
 - b. When the camera is found in the glove compartment by security staff and action taken in accordance with Port Facility security instructions.
or
 - c. Upon the Chief Controller's instruction.

- 20. **Debrief**
 - a. Allow some time for the controllers and security staff to gather their thoughts on the events, in preparation for the debrief.
 - b. Assemble all participating security staff for debrief
 - c. The Chief Controller should conduct the debrief
 - d. Appoint a note-taker to record the salient points of the discussion and in particular the lessons learnt and any follow-up actions required. Guidance should be provided to the note-taker as to what is to be recorded.

- 21. **Reports**
 - a. Report the conduct of the drill to the management, either with a written report or verbally, as required by the management. An example of a report is provided at Appendix 5
 - b. If a written report is submitted, arrange for a briefing on the drill to be given at a management meeting to inform top management of the proceedings.



22. Records

An ISPS Drills and Exercises Record Book should be maintained by the Port Facility. The following is an example of an entry in the ISPS Drill and Exercises Record Book:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
<i>15/10/XX</i>	<i>Drill</i>	<i>Materials Handling - Ship's stores</i>	<i>D333 - Unauthorized item found in vehicle delivering ship stores</i>	<i>PF/101/08-D333 dated xx/yy/zzzz</i>



D333 TIME-TABLE FOR PLANNING

DAYS TO DRILL	DATE	EVENT	CHECK
D -14	(calendar	Review the Guidelines	
D -14	dates to be	Confirm budget availability for items and/or services to be employed during the drill	
D -12	inserted)	Identify the drill control team	
D -10		Obtain management endorsement if it is required	
D -7		Refine or adjust the Master Events List if necessary	
D -5		Confirm the participants	
D -2		Brief the controllers and passenger and issue Letter of Identification, funds, etc.	
D day		Conduct the drill	
D day		Perform the debrief and record the lessons learnt	
D day		Record the conduct of the drill	
D +1		Prepare the written report on the drill	
D +2		Report the conduct of the drill to management	



CODE WORDS

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

CODE WORD	MEANING
Drill Start	The drill is to commence
Drill Suspend	The drill is temporarily suspended
Drill Go	The drill is to resume from where it was suspended
Drill Stop	The drill is to be terminated (prematurely)
Drill End	The drill is completed
For Exercise	The message or statement that follows this preamble relates to the drill only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the drill e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."



Port Facility

12 October XXXX

*The Security Officer
Port Facility*

LETTER OF IDENTIFICATION

This is to certify that *Mr. ABC* is a controller in a *Port Facility* maritime security drill being conducted on *17 October XXXX*. Please contact the undersigned and escort *Mr. ABC* to the Security Office.

signed
Mr. DEF
Port Facility Security Officer



D333 MASTER EVENTS LIST

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
<i>Date: 12 Oct XX</i>				
001	1600	<i>Controller briefing</i>		<i>Meeting point away from the Port Facility</i>
<i>Date: 17 Oct XX</i>				
002	0900	<i>Participant briefing*</i>		<i>Port Facility</i>
003	0930	<i>Controllers final briefing</i>		<i>Meeting point away from the Port Facility</i>
004	1000	<i>Controllers at respective positions</i>		<i>Chief Controller at Port Facility vehicle entrance</i>
005	1030	<i>All security staff at respective positions</i>		<i>As appropriate</i>
006	1031	<i>Drill commence</i>		
007	1105	<i>Vehicle 1 to proceed to the Port Facility</i>	<i>Port Facility security staff should notice that the gas cylinders are not in the Delivery Order, and recognize them as unauthorized items</i>	<i>Port Facility vehicle entrance</i>
008	1410	<i>Vehicle 2 to proceed to the Port Facility</i>	<i>Port Facility security staff should perform vehicle screening, find the video camera and recognize it as a prohibited item</i>	<i>Port Facility vehicle entrance</i>
009	1500	<i>Drill End</i>	<i>Dispersal of personnel</i>	
010	1530	<i>Debrief</i>	<i>Controllers and security staff to report findings and lessons learnt</i>	<i>Staff recreation room</i>
* Not required if the drill is to be conducted without prior notice to the participants				

**REPORT ON THE CONDUCT OF SECURITY DRILL D333**

Type of Drill	<i>Materials Handling - Ships stores</i>
Drill Conducted	<i>Unauthorized item found in vehicle delivering ship stores</i>
General objective	<i>To practice port security staff in the screening of vehicles entering Port Facility premises</i>
Date and time	<i>15 October XXXX at 0945 hrs</i>
Duration	<i>5 hrs</i>
Controllers	<i>Mr GHJ, Manager, Safety and Security – Chief controller Mr YHU, Driver, Vehicle 1 Mr KMJ, Driver, Vehicle 2</i>
Participants	<i>Security staff from Team 2 and Team 3 All participants were briefed on the conduct of this drill</i>
Significant events	<i>1. Two vehicles from KLJ Ship Supplies PLC participated in this drill. 2. Vehicle 1 delivered supplies to MV UJN as ordered by the ship agent. Two cylinders of LPG gas were added to the stores but were not listed in the Delivery Order. Security staff noted the discrepancy and disallowed the entry of the gas cylinders. 3. Vehicle 2 was used to deliver a second set of ship stores (electronic goods) to MV UJN. A used camera planted by controllers was found by the security staff in the glove compartment. It was not in the Delivery Order for the electronic goods. Security staff held it for safe-keeping at the security office.</i>



Lessons learnt	<p><i>1. Security staff were alert and found both unauthorized items.</i></p> <p>Include photographs if relevant</p>
Follow-up action	<p><i>1. All security staff will be reminded to be alert to inconsistencies between Delivery Orders and actual stores carried, and how some items may represent a security threat.</i></p> <p><i>2. These reminders will be posted on Notice Boards for the next 2 weeks.</i></p>
Performance indicators	<p><i>1. Detection rate – 2/2</i></p> <p><i>2. The degree of compliance with Port Facility security instructions in handling:</i></p> <ul style="list-style-type: none"><i>a. Vehicle 1 driver and assistant – x%</i><i>b. Vehicle 2 driver and assistant – y%</i><i>c. The unauthorized items - z%</i>
Total cost	<p>\$xxx</p>



Drill	D334
Category	Materials Handling
Type	Ship's stores
Subject	Unauthorized loading / unloading of cargo / ship stores in a Restricted Area
Security Level	1 and 2
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Vol I Part 1 – Guidelines for the Conduct of Maritime Security Drills 4. ISPS Code

INTRODUCTION

1. Port Facilities have key installations and Restricted Areas where important control systems, plant, machinery or cargo are located. Activity within the Restricted Area should be carefully regulated and monitored. Any loading or unloading of cargo or ships stores in a Restricted Area would likely require prior approval. Thus, a truck or a ship's crew working cargo or ship's stores there, for whatever reason, should be noted and promptly checked. As Restricted Areas may be areas of relatively lower activity and traffic, they may be an ideal location within the Port Facility for the handling of contraband.

2. This drill will require the Port Facility staff to detect and respond to the unauthorized loading and unloading of stores within a Restricted Area. Drill control will arrange for the "unauthorized" activity, representing the handling of contraband goods, to take place. Upon notification, the security staffs are expected to act in accordance with the Port Facility's security instructions.

AIM OF THE DRILL

3. General Objective

To develop the vigilance of Port Facility staff in the observation of unauthorized activity within the Port Facility.



4. **Specific Objectives**

- a. To test the vigilance of Port Facility staff to unusual/unauthorized activity within the Port Facility's Restricted Areas
- b. To practice security staff in the conduct of checks on unusual/unauthorized activity within the Port Facility's Restricted Areas
- c. To enhance the security awareness of threats to the Port Facility
- d. Meet or better the specified benchmark response times for this drill.

REQUIRED ATTAINMENTS

5. On completion of the drill, Port Facility security staff will be able to:
 - a. Recognize activity within Port Facility Restricted Areas that may be considered unusual/unauthorized.
 - b. Act on their suspicions to report such activity.
 - c. Verify the reported activity.

PLANNING FOR THE DRILL

6. **Timetable**

The date for the conduct of this drill should be scheduled in the Port Facility's annual work program. The specific date would depend on the scheduled arrival of a ship at the Port Facility. Preparations for this drill should commence 2 weeks prior to the date of conduct. An example of a time-table for the preparation and conduct of this drill is given in Appendix 1

7. **Participation of the ship alongside**

The ship has a major role in this drill, and the ship's cooperation must be sought for the conduct. The ship must participate fully in the planning, and may wish to take the opportunity to conduct its own associated maritime security drill or exercise. The Chief Controller should hold a planning meeting with the SSO using these guidelines.



8. Personnel

a. Control Team

(1) The Chief Controller may be the Port Facility Security Officer (PFSO) or a manager in charge of security matters. Where the first line response by security staff involves the PFSO, a manager should be considered for the appointment of Chief Controller. This will free the PFSO to respond to the situation as it develops during the drill.

(2) The Ship Security Officer (SSO) should be appointed the Deputy Chief Controller.

(3) Two members of the ship's crew.

(4) Driver and assistant (if any) of a delivery vehicle.

b. Participants

The participants will be the Port Facility security staff.

c. Safety Officer

The appointment of a safety officer for this drill should be considered.

9. Resources

a. Cargo/Vehicle(s)

(1) The Chief Controller should arrange with freight forwarders, suppliers or contractors for a consignment of stores in a vehicle to participate in the drill.

(2) If necessary, a second vehicle should be made available to transport the ship's "contraband" and the two crew acting as controllers to the Restricted Area.



b. Communications

(1) **Equipment**

(a) Mobile phone: It is recommended that mobile phones should be the preferred means of communications between the Chief Controller and the controllers, subject to the availability of a cell phone network at the location of the Port Facility.

(b) Walkie-talkie: When using walkie-talkies, note that they have a short range and short battery life. They are usually bulky and may not be easily concealed, and they may be subject to interference if left switched on, leading to discovery at awkward moments.

(2) **Code words**

Code words are used to provide brevity and clarity in communications during the conduct of a drill. A list of suggested code words is given in Appendix 2. The code words must be promulgated to all controllers and participants of the drill.

(3) **Security**

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

c. Other requirements

- (1) Location for the debrief
- (2) Refreshments e.g. during the debrief
- (3) Person to take notes during the debrief
- (4) Stationery for note-taking



10. **Safety**

a. Security staff activity in connection with this drill would be monitored by the Safety Officer, if one is appointed. The Safety Officer should station himself at a location where he would be:

- (1) Able to observe the majority of events
- (2) Near where potentially hazardous activity may take place
- (3) Accessible should he be required in a contingency

b. Controllers with roles as intruders or drivers, etc. should be issued with a letter of identification provided in Appendix 3 to forestall any undesirable action or behavior on the part of security staff toward them.

11. **Budget**

Funding may be needed for the following:

- a. Compensation for vehicles, drivers and/or their companies for their participation.
- b. Refreshments for the debrief.
- c. Reimbursement of expenses incurred by controllers or participants.

12. **Policy for disclosure**

a. The Chief Controller should decide if the drill is to be announced (i.e. participants such as security staff will be notified of the conduct of the drill) or the conduct of the drill will not be announced beforehand (i.e. the participants will not be informed of the conduct of the drill).

b. In deciding the mode, the following may be taken into consideration:

- (1) Security - Where it is assessed that confidentiality is uncertain or difficult to maintain, it is preferable to opt for an announced drill.
- (2) Organizational culture - Unannounced drills may be perceived as a test of the participants.

13. **Management endorsement**

The Chief Controller should seek approval from management for the conduct of the drill. Management should be informed of the drill prior to its conduct, even if formal approval is not required.



CONDUCTING THE DRILL

14. **Master Events List**

a. The drill begins with the entry into the Port Facility of a vehicle bearing a routine legitimate consignment of stores for a ship. Once past the security checks, the vehicle will proceed to the Restricted Area selected for this drill. At the same time, the two ship's crew will bring their "contraband" to the Restricted Area. Accessibility of the Restricted Area and the nature of the stores being handled are not material to the objective of the drill, and should be pre-arranged by the Chief Controller. At the Restricted Area, the vehicle driver and the ship's crew will perform their little charade of a trade/exchange of goods, acting in a suspicious manner. It is expected that this unusual activity will be detected by Port Facility staff and reported. The PFSO is then expected to muster his resources and take action in accordance with the Port Facility's security instructions.

b. The "injects" (simulated events) for the conduct of the drill are provided in the example of a Master Events List at Appendix 4. These would be introduced on schedule or on completion of the preceding event. Adjustments would be made by the Chief Controller to cater to the prevailing circumstances.

15. **Controller briefing**

a. The briefing to controllers will be conducted by the Chief Controller and should include the following:

- (1) Roles to be played by controllers.
- (2) Positions of controllers at the commencement of the drill.
- (3) Transport arrangements.
- (4) Suggested responses to questioning by security staff.
- (5) Safety measures.

b. Scenario

Some ship's crew have smuggled contraband goods on board. They have arranged to exchange these goods for items to be brought to the ship by their contacts in the port. At the last minute, they decide to change the location for the exchange of goods, and elect instead to make the exchange in the Restricted Area.



c. Tasks

- (1) The driver of the vehicle carrying the consignment of goods is to approach Port Facility security in the normal manner and submit the appropriate documents. The driver will comply with the specified procedures to transport the cargo into the Port Facility.
- (2) The vehicle will then proceed into a Restricted Area as designated by the Chief Controller, and begin unloading.
- (3) The Chief Controller will conduct the drill in accordance with the events listed in the Master Events List.
- (4) The Chief Controller should position himself at a suitable location to discreetly observe the proceedings.

16. **Participant briefing**

a. A briefing to participants should be scheduled if it is decided that the drill is to be announced (paragraph 11). The brief to participants should include the following:

- (1) Review of the previous drill, including the lessons learnt
- (2) Objectives and scenario of the drill to be conducted
- (3) The Port Facility's security instructions pertaining to the drill being conducted
- (4) Update on the ISPS Code and/or local regulations
- (5) Developments in maritime security (news, events, etc)

b. It should not include information or details of the controllers' plans for the drill.

17. **Briefing Aids**

Briefing slides and notes are provided in the accompanying PowerPoint files. With entries for the names, dates, locations, etc. these may be used to conduct the briefing to controllers and to participants.



18. Conditions

The Port Facility is to proceed with its daily business as usual. No prior preparations on the part of the participants and/or security arrangements are required for the conduct of this drill.

19. Performance Measurement

- a. Performance indicators should be established for this drill. Some may be dependent on the specific circumstances of the Port Facility. Ideally, performance indicators should be objective, but subjective ones may also be observed by the controllers, e.g. the degree of compliance with Port Facility security instructions.
- b. The following objective performance indicators are the target benchmark response times to be achieved for this drill:

FROM	TO	DURATION (minutes)
Commencement of activity in the Restricted Area	Detection of the activity and report to security staff	x
Report made to security staff	Mustering of response team	y
Mustering of response team	Deployment of response team	z

CONCLUDING THE DRILL

20. The drill shall be ended under the following circumstances:

- a. When the unloading/loading activity at the Restricted Area is reported to/by security staff and actions taken in accordance with the Port facility security instructions.
- or
- b. If the unloading/loading is not observed during the mission, then at a pre-determined time after the start of the task
- or
- c. Upon the Chief Controller's instruction.



21. Debrief

- a. Allow some time for the controllers and security staff to gather their thoughts on the events, in preparation for the debrief.
- b. Assemble all participating security staff for debrief
- c. The Chief Controller should conduct the debrief
- d. Appoint a note-taker to record the salient points of the discussion and in particular the lessons learnt and any follow-up actions required. Guidance should be provided to the note-taker as to what is to be recorded.

22. Reports

- a. Report the conduct of the drill to the management, either with a written report or verbally, as required by the management. An example of a report is provided at Appendix 5
- b. If a written report is submitted, arrange for a briefing on the drill to be given at a management meeting to inform top management of the proceedings.

23. Records

An ISPS Drills and Exercises Record Book should be maintained by the Port Facility. The following is an example of an entry in the ISPS Drill and Exercises Record Book:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
<i>15/10/XX</i>	<i>Drill</i>	<i>Materials Handling - Ship's stores</i>	<i>D334 - Unauthorized loading / unloading of cargo / ship stores in a Restricted Area</i>	<i>PF/101/08-D334 dated xx/yy/zzzz</i>



D334 TIME-TABLE FOR PLANNING

DAYS TO DRILL	DATE	EVENT	CHECK
D -14	(calendar	Review the Guidelines	
D -14	dates to be	Confirm budget availability for items and/or services to be employed during the drill	
D -12	inserted)	Identify the drill control team	
D -10		Obtain management endorsement if it is required	
D -7		Refine or adjust the Master Events List if necessary	
D -5		Confirm the participants	
D -2		Brief the controllers and issue Letter of Identification, funds, etc.	
D day		Conduct the drill	
D day		Perform the debrief and record the lessons learnt	
D day		Record the conduct of the drill	
D +1		Prepare the written report on the drill	
D +2		Report the conduct of the drill to management	



CODE WORDS

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

CODE WORD	MEANING
Drill Start	The drill is to commence
Drill Suspend	The drill is temporarily suspended
Drill Go	The drill is to resume from where it was suspended
Drill Stop	The drill is to be terminated (prematurely)
Drill End	The drill is completed
For Exercise	The message or statement that follows this preamble relates to the drill only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the drill e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."



Port Facility

12 October XXXX

*The Security Officer
Port Facility*

LETTER OF IDENTIFICATION

This is to certify that *Mr. ABC* is a controller in a *Port Facility* maritime security drill being conducted on *17 October XXXX*. Please contact the undersigned and escort *Mr. ABC* to the Security Office.

signed
Mr. DEF
Port Facility Security Officer

**D334 INJECTS LIST**

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
<i>Date: 16 Oct XX</i>				
001	1600	<i>Controller briefing and recce of the Restricted Area and routes for drill activity</i>		<i>Port Facility</i>
<i>Date: 17 Oct XX</i>				
002	0900	<i>Participant briefing*</i>		<i>Port Facility</i>
003	0930	<i>Controllers final briefing</i>		<i>Port Facility</i>
004	1000	<i>Controllers at respective positions</i>		<i>Chief Controller at Restricted Area</i>
005	1001	<i>All security staff at respective positions</i>		<i>As appropriate</i>
006	1015	<i>Drill commence</i>		
007	1030	<i>Vehicle with consignment of stores to enter Port Facility and thereafter proceed to the Restricted Area</i>	<i>Port Facility employees may notice the vehicle proceeding to or in the Restricted Area</i>	<i>Restricted Area</i>
008	1040	<i>Vehicle to unload in the Restricted Area</i>	<i>Port Facility employees may notice the vehicle in the Restricted Area proceeding to unload its cargo, and alert security staff. Security staff to take action.</i>	<i>Restricted Area</i>
009	1100	<i>Ship crew to take their “contraband” goods into the Restricted Area and meet with vehicle driver to exchange goods</i>	<i>Port Facility employees may notice the activity in the Restricted Area, and alert security staff. Security staff to take action.</i>	<i>Restricted Area</i>
010	1200	<i>Drill End</i>	<i>Dispersal of personnel</i>	
011	1430	<i>Debrief</i>	<i>Controllers and security staff to report findings and lessons learnt</i>	<i>Staff recreation room</i>
<i>* Not required if the drill is to be conducted without prior notice to the participants</i>				

**REPORT ON THE CONDUCT OF SECURITY DRILL D334**

Type of Drill	<i>Materials Handling - Ship's stores</i>
Drill Conducted	<i>Unauthorized loading / unloading of cargo / ship stores in a Restricted Area</i>
General objective	<i>To develop the vigilance of Port Facility staff in the observation of unauthorized activity within the Port Facility</i>
Date and time	<i>15 October XXXX at 0900 hrs</i>
Duration	<i>5 hrs</i>
Controllers	<i>Mr GHJ, Manager, Safety and Security – Chief controller Mr YHU, Vehicle Driver Mr ERD, Vehicle Assistant Mr YTR, Ship crew Mr QWE, Ship crew</i>
Participants	<i>Security staff from Team 2 and Team 3 Participants were not briefed on the conduct of this drill</i>
Significant events	<i>1. A vehicle delivering a consignment of stores was tasked to unload some of the stores in the Restricted Area. 2. The vehicle entered the Port Facility to make a bona fide delivery of cargo to MV GBN. Instead of delivering the stores to the ship, it drove into the Restricted Area and started unloading the stores.</i>



Significant events	<p>3. <i>Two members of MV GBN crew acting as smugglers of contraband goods brought packages to the Restricted Area to “exchange” for the goods delivered by the vehicle.</i></p> <p>4. <i>Mr JNH from the fire department was checking extinguishers at the Restricted Area and noticed the activity. He reported to security staff, who questioned the group.</i></p> <p>5. <i>The drill was then terminated by the Chief Controller.</i></p> <p>Include photographs if relevant</p>
Lessons learnt	<p>1. <i>The Restricted Area entrance was left unlocked as the extinguisher check was in progress. This allowed the unauthorized entry by both vehicles. Restricted Area gates and other access points must be locked at all times.</i></p> <p>2. <i>Security staff at the wharf saw the ships crew loading Vehicle 2. Ships crew is not permitted ashore without prior notification, and security staff should have stopped them.</i></p> <p>Include photographs if relevant</p>
Follow-up action	<p>1. <i>All employees will be reminded to comply with Port Facility security instructions for the Restricted Area.</i></p> <p>2. <i>Ships will be issued with a daily reminder regarding their activities and responsibilities when alongside, should they remain alongside for more than 1 day (simulated).</i></p>
Performance indicators	<p>1. <i>From Commencement of activity in the Restricted Area to Detection of the activity and report to security staff – x minutes</i></p> <p>2. <i>From Report made to security staff to Deployment of response team – y minutes</i></p> <p>3. <i>From Deployment of response team to Arrival on site at the Restricted Area – z minutes</i></p>
Total cost	<p>\$xxx</p>



Drill	D341
Category	Materials Handling
Type	Unaccompanied baggage
Subject	Unaccompanied baggage found in the Port Facility
Security Level	1 and 2
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Vol I Part 1 – Guidelines for the Conduct of Maritime Security Drills 4. ISPS Code

INTRODUCTION

1. Unaccompanied baggage must be screened, and if the security conditions warrant it, searched before being embarked on board ships. Port Facilities that process unaccompanied baggage should have the facilities to perform the screening, including x-ray machines. After screening, unaccompanied baggage must be handled in a manner that will maintain their “screened” status before they are embarked. Unaccompanied baggage found unattended outside the secure area must be considered a security risk.

2. This drill will test the vigilance of Port Facility staff to baggage left unattended. A controller handling unaccompanied baggage through the screening process will place two suitcases outside the secure baggage area. When the suitcases are noticed, it is expected that Port Facility security staff will act in accordance with the appropriate Port Facility security instructions to attend to the suitcases.

AIM OF THE DRILL

3. **General Objective**

To reinforce the need for vigilance among Port Facility staff towards baggage security.



4. **Specific Objectives**

- a. To test Port Facility staff alertness to baggage left unattended
- b. To practice security staff in the screening of unaccompanied baggage
- c. To enhance the security awareness of threats to the Port Facility
- d. Meet or better the specified benchmark response times for this drill.

REQUIRED ATTAINMENTS

5. On completion of the drill, Port Facility employees and security staff should be able to:

- a. Detect unaccompanied baggage outside the secure area
- b. Screen unaccompanied baggage for unauthorized items
- c. Ensure the security of unaccompanied baggage after screening to maintain the integrity of the security check

PLANNING FOR THE DRILL

6. **Timetable**

The date for the conduct of this drill should be scheduled in the Port Facility's annual work program. Preparations for this drill should commence 2 weeks prior to the date of conduct. An example of a time-table for the preparation and conduct of this drill is given in Appendix 1

7. **Personnel**

a. Control Team

- (1) The Chief Controller may be the Port Facility Security Officer (PFSO) or a manager in charge of security matters. Where the first line response by security staff involves the PFSO, a manager should be considered for the appointment of Chief Controller. This will free the PFSO to respond to the situation as it develops during the drill.



(2) The Chief Controller is to co-opt a member of the Port Facility security staff as a controller.

b. Participants

The participants will be the Port Facility security staff.

8. **Resources**

a. Unaccompanied baggage

The Chief Controller should time this drill with the delivery to the Port Facility of a consignment of unaccompanied baggage. The Chief Controller is to arrange for two control suitcases to be prepared and included in the consignment delivered to the Port Facility. The two suitcases should be listed in the manifest of the genuine consignment. The Chief Controller will liaise with the consignor for the suitcases to be included. The two suitcases should be prepared or arranged by the Chief Controller and will contain clothing. Nothing incriminating is to be included.

b. Communications

(1) **Equipment**

(a) Mobile phone: It is recommended that mobile phones should be the preferred means of communications between the Chief Controller and the controllers, subject to the availability of a cell phone network at the location of the Port Facility.

(b) Walkie-talkie: When using walkie-talkies, note that they have a short range and short battery life. They are usually bulky and may not be easily concealed, and they may be subject to interference if left switched on, leading to discovery at awkward moments.

(2) **Code words**

Code words are used to provide brevity and clarity in communications during the conduct of a drill. A list of suggested code words is given in Appendix 2. The code words must be promulgated to all controllers and participants of the drill.



(3) **Security**

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

c. Other requirements

- (1) Location for the debrief
- (2) Refreshments e.g. during the debrief
- (3) Person to take notes during the debrief
- (4) Stationery for note-taking

9. **Safety**

- a. It is not expected that safety would be of special concern during this drill.
- b. The controller assigned to plant the suitcases should be issued with a letter of identification provided in Appendix 3 to forestall any undesirable action or behavior on the part of security staff toward him, should he be detected during the placement of the suitcases.

10. **Budget**

Funding may be needed for the following:

- a. Arrangements for the control suitcases.
- b. Refreshments for the debrief.
- c. Reimbursement of expenses incurred by controllers or staff.

11. **Policy for disclosure**

- a. The Chief Controller should decide if the drill is to be announced (i.e. participants such as security staff will be notified of the conduct of the drill) or the conduct of the drill will not be announced beforehand (i.e. the participants will not be informed of the conduct of the drill).
- b. In deciding the mode, the following may be taken into consideration:
 - (1) Security - Where it is assessed that confidentiality is uncertain or difficult to maintain, it is preferable to opt for an announced drill.



(2) Organizational culture - Unannounced drills may be perceived as a test of the participants.

(3) Ships at the Port Facility - Where it is anticipated that the drill may impact in any way on ships alongside, their crew, agents, suppliers or contractors, ships alongside should be notified in advance of the drill.

12. Management endorsement

The Chief Controller should seek approval from management for the conduct of the drill. Management should be informed of the drill prior to its conduct, even if formal approval is not required.

CONDUCTING THE DRILL

13. Master Events List

a. The drill begins with the delivery to the Port Facility of the consignment of unaccompanied baggage. When the delivered suitcases have completed screening and are being moved from the screening station to the ship or holding area/room, the control suitcases will be placed outside the secure zone for unaccompanied baggage to simulate baggage that has been misplaced or misdirected.

b. The “injects” (simulated events) for the conduct of the drill are provided in the example of a Master Events List at Appendix 4. These would be introduced on schedule or on completion of the preceding event. Adjustments would be made to cater to the prevailing circumstances.

14. Controller briefing

a. The briefing to controllers will be conducted by the Chief Controller and should include the following:

- (1) Roles to be played by controllers.
- (2) Positions of controllers at the commencement of the drill.
- (3) Transport arrangements.
- (4) Suggested responses to questioning by security staff.
- (5) Safety measures.



b. Scenario

Two suitcases have been left unattended outside a secure area meant for baggage that has been screened. They may have been mishandled or they may have been deliberately left there for a evil purposes.

c. Tasks

(1) The two control suitcases are to be left unattended outside the secure area, at a reasonably prominent location. The security staff member co-opted as a controller is to handle the consignment of unaccompanied baggage through the screening process. He will subsequently leave the two control suitcases outside the secure zone.

(2) The Chief Controller will conduct the drill in accordance with the events listed in the Master Events List.

(3) The Chief Controller should position himself at a suitable location to discreetly observe the proceedings.

15. **Participant briefing**

a. A briefing to participants should be scheduled if it is decided that the drill is to be announced (paragraph 11). The brief to participants should include the following:

- (1) Review of the previous drill, including the lessons learnt.
- (2) Objectives and scenario of the drill to be conducted.
- (3) The Port Facility's security instructions pertaining to the drill being conducted.
- (4) Update on the ISPS Code and/or local regulations.
- (5) Developments in maritime security (news, events, etc).

b. It should not include information or details of the controllers' plans for the drill.



16. Briefing Aids

Briefing slides and notes are provided in the accompanying PowerPoint files. With entries for the names, dates, locations, etc. these may be used to conduct the briefing to controllers and to participants.

17. Condition

The Port Facility is to proceed with its daily business as usual. No prior preparations on the part of the security staff and/or security arrangements are required for the conduct of this drill.

18. Performance Measurement

- a. Performance indicators should be established for this drill. Some may be dependent on the specific circumstances of the Port Facility. Ideally, performance indicators should be objective, but subjective ones may also be observed by the controllers, e.g. the degree of compliance with Port Facility security instructions.
- b. The following objective performance indicators are the target benchmark response times to be achieved for this drill:

FROM	TO	DURATION (minutes)
Planting of suitcases by controller	Detection of the suitcases	x
Notification of suitcases by person finding them	Deployment of response team	y
	Notification sent to local authority e.g. Police, Port Authority (simulated)	z

CONCLUDING THE DRILL

19. The drill shall be ended under the following circumstances:
 - a. When the suitcases are detected by Port Facility staff.
 - or
 - b. If the suitcases are not detected during the mission, then at a pre-determined time after the start of the drill.
 - or
 - c. Upon the Chief Controller's instruction.



20. Debrief

- a. Allow some time for the controllers and security staff to gather their thoughts on the events, in preparation for the debrief.
- b. Assemble all participating security staff for debrief
- c. The Chief Controller should conduct the debrief
- d. Appoint a note-taker to record the salient points of the discussion and in particular the lessons learnt and any follow-up actions required. Guidance should be provided to the note-taker as to what is to be recorded.

21. Reports

- a. Report the conduct of the drill to the management, either with a written report or verbally, as required by the management. An example of a report is provided at Appendix 5.
- b. If a written report is submitted, arrange for a briefing on the drill to be given at a management meeting to inform top management of the proceedings.

22. Records

An ISPS Drills and Exercises Record Book should be maintained by the Port Facility. The following is an example of an entry in the ISPS Drill and Exercises Record Book:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
<i>15/10/XX</i>	<i>Drill</i>	<i>Materials Handling - Unaccompanied baggage</i>	<i>D341 - Unaccompanied baggage found in the Port Facility</i>	<i>PF/101/08-D341 dated xx/yy/zzzz</i>



D341 TIME-TABLE FOR PLANNING

DAYS TO DRILL	DATE	EVENT	CHECK
D -14	(calendar	Review the Guidelines	
D -14	dates to be	Confirm budget availability for items and/or services to be employed during the drill	
D -12	inserted)	Identify the drill control team	
D -10		Obtain management endorsement if it is required	
D -7		Refine or adjust the Master Events List if necessary	
D -5		Confirm the participants	
D -2		Brief the controllers and issue Letter of Identification, funds, etc.	
D day		Conduct the drill	
D day		Perform the debrief and record the lessons learnt	
D day		Record the conduct of the drill	
D +1		Prepare the written report on the drill	
D +2		Report the conduct of the drill to management	



CODE WORDS

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

CODE WORD	MEANING
Drill Start	The drill is to commence
Drill Suspend	The drill is temporarily suspended
Drill Go	The drill is to resume from where it was suspended
Drill Stop	The drill is to be terminated (prematurely)
Drill End	The drill is completed
For Exercise	The message or statement that follows this preamble relates to the drill only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the drill e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."



Port Facility

12 October XXXX

*The Security Officer
Port Facility*

LETTER OF IDENTIFICATION

This is to certify that *Mr. ABC* is a controller in a *Port Facility* maritime security drill being conducted on *17 October XXXX*. Please contact the undersigned and escort *Mr. ABC* to the Security Office.

signed
Mr. DEF
Port Facility Security Officer

**D341 INJECTS LIST**

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
<i>Date: 12 Oct XX</i>				
001	1600	<i>Controller briefing</i>		<i>Meeting point away from the Port Facility</i>
<i>Date: 17 Oct XX</i>				
002	0900	<i>Participant briefing*</i>		<i>Port Facility</i>
003	0930	<i>Controllers final briefing</i>		<i>Chief Controller's office</i>
004	0945	<i>Controllers at respective positions</i>		<i>Chief Controller at Port Facility baggage security station</i>
005	0946	<i>All security staff at respective positions</i>		<i>As appropriate</i>
006	0955	<i>Drill commence</i>		
007	1000	<i>Controller to take the unaccompanied baggage through screening</i>	<i>Security staff to screen baggage</i>	<i>Port Facility baggage security station</i>
008	1000	<i>Controller to leave the two designated suitcases out of the secure area</i>	<i>Port Facility staff should notice the target suitcases and raise the alarm with security staff</i>	<i>Baggage screening station</i>
009	1200	<i>Drill End</i>	<i>Dispersal of personnel</i>	
010	1430	<i>Debrief</i>	<i>Controllers and security staff to report findings and lessons learnt</i>	<i>Staff recreation room</i>
* Not required if the drill is to be conducted without prior notice to the participants				

**REPORT ON THE CONDUCT OF SECURITY DRILL D341**

Type of Drill	<i>Materials Handling - Unaccompanied baggage</i>
Drill Conducted	<i>Unaccompanied baggage found in the Port Facility</i>
General objective	<i>To reinforce the need for vigilance among Port Facility staff towards baggage security</i>
Date and time	<i>15 October XXXX at 0900 hrs.</i>
Duration	<i>5 hrs</i>
Controllers	<i>Mr GHJ, Manager, Safety and Security – Chief controller Mr YHU, Controller</i>
Participants	<i>Security staff from Team 2 and Team 3 Participants were not briefed on the conduct of this drill</i>
Significant events	<i>1. Mr YHU processed a consignment of unaccompanied baggage through security screening. 2. Security staff Mr TGB who was manning the screening station noticed the suitcases when he was on his way to the rest room. Mr TGB raised the alarm and together with the other members of his screening team handled the suitcases as a security threat and processed them according to the Port Facility security instructions. The suitcases were eventually re-screened and found to be safe. Include photographs if relevant</i>



Lessons learnt	<p><i>1. Port Facility security staff are vigilant and quickly detected the 2 suitcases left outside the secure zone.</i></p> <p>Include photographs if relevant</p>
Follow-up action	<p><i>1. All employees will be reminded to be alert to unaccompanied baggage that may be subject to tampering if left outside the secure zone.</i></p> <p><i>2. Reminders will be posted on the security office Notice Boards for the next 2 weeks.</i></p>
Performance indicators	<p><i>1. From Planting of suitcases by controller to Detection of the suitcases – x minutes</i></p> <p><i>2. From Notification of suitcases by person finding them to Deployment of response team – y minutes</i></p> <p><i>3. From Notification of suitcases by person finding them to Notification sent to local authority e.g. Police, Port Authority (simulated) – z minutes</i></p>
Total cost	\$xxx



Drill	D342
Category	Materials Handling
Type	Unaccompanied baggage
Subject	Unaccompanied baggage found within a Restricted Area
Security Level	1 and 2
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Vol I Part 1 – Guidelines for the Conduct of Maritime Security Drills 4. ISPS Code

INTRODUCTION

1. Unaccompanied baggage must be screened before being embarked on board ships. Port Facilities that process unaccompanied baggage should have the facilities to perform the screening, including x-ray machines. After screening, unaccompanied baggage must be handled in a manner that will maintain their “screened” status before they are embarked. Unaccompanied baggage found unattended outside the secure area and especially in Restricted Areas must be considered a high security risk.

2. This drill will test the vigilance of Port Facility staff working in and around a Restricted Area to unusual items and events in the Area. A controller will surreptitiously place two unaccompanied suitcases containing unauthorized items within a Restricted Area. When the suitcases are noticed, it is expected that Port Facility security staff will act in accordance with the appropriate Port Facility security instructions.

AIM OF THE DRILL

3. **General Objective**

To reinforce the need for vigilance among Port Facility staff towards baggage security.



4. Specific Objectives

- a. To test Port Facility staff alertness to baggage left unattended.
- b. To practice security staff in the screening of unaccompanied baggage.
- c. To enhance awareness of security threats to the Port Facility.
- d. Meet or better the specified benchmark response times for this drill.

REQUIRED ATTAINMENTS

5. On completion of the drill, Port Facility employees and security staff should be able to:

- a. Recognize unaccompanied baggage in a restricted area as a potential security threat.
- b. Act to report security threats to security staff.
- c. Screen unaccompanied baggage for unauthorized items.

PLANNING FOR THE DRILL

6. Timetable

The date for the conduct of this drill should be scheduled in the Port Facility's annual work program. Preparations for this drill should commence 2 weeks prior to the date of conduct. An example of a time-table for the preparation and conduct of this drill is given in Appendix 1

7. Personnel

a. Control Team

- (1) The Chief Controller may be the Port Facility Security Officer (PFSO) or a manager in charge of security matters. Where the first line response by security staff involves the PFSO, a manager should be considered for the appointment of Chief Controller. This will free the PFSO to respond to the situation as it develops during the drill.



(2) The Chief Controller is to co-opt a member of the Port Facility security staff as a controller.

b. Participants

The participants will be the Port Facility security staff.

8. **Resources**

a. Unaccompanied baggage

The Chief Controller should time this drill with the delivery to the Port Facility of a consignment of unaccompanied baggage. This is to lend credibility to the appearance of two suitcases in the Restricted Area, as if they had been mistakenly mislaid from the consignment. The Chief Controller is to arrange for two suitcases to be brought into the Port Facility and surreptitiously placed in the Restricted Area. The two suitcases would not be listed in the manifest of the genuine consignment. The two suitcases should be prepared or arranged by the Chief Controller and will contain clothing and batteries connected by wires to a metal box to simulate an improvised explosive device (bomb) hidden in the bag.

a. Communications

(1) **Equipment**

(a) Mobile phone: It is recommended that mobile phones should be the preferred means of communications between the Chief Controller and the controllers, subject to the availability of a cell phone network at the location of the Port Facility.

(b) Walkie-talkie: When using walkie-talkies, note that they have a short range and short battery life. They are usually bulky and may not be easily concealed, and they may be subject to interference if left switched on, leading to discovery at awkward moments.

(2) **Code words**

Code words are used to provide brevity and clarity in communications during the conduct of a drill. A list of suggested code words is given in Appendix 2. The code words must be promulgated to all controllers and participants of the drill.



(3) **Security**

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

b. Other requirements

- (1) Location for the debrief
- (2) Refreshments e.g. during the debrief
- (3) Person to take notes during the debrief
- (4) Stationery for note-taking

9. **Safety**

- a. It is not expected that safety would be of special concern during this drill.
- b. The controller assigned to plant the suitcases should be issued with a letter of identification provided in Appendix 3 to forestall any undesirable action or behavior on the part of security staff toward him, should he be detected during the placement of the suitcases.

10. **Budget**

Funding may be needed for the following:

- a. Arrangements for the control suitcases.
- b. Refreshments for the debrief.
- c. Reimbursement of expenses incurred by controllers or staff.

11. **Policy for disclosure**

- a. The Chief Controller should decide if the drill is to be announced (i.e. participants such as security staff will be notified of the conduct of the drill) or the conduct of the drill will not be announced beforehand (i.e. the participants will not be informed of the conduct of the drill).
- b. In deciding the mode, the following may be taken into consideration:
 - (1) Security - Where it is assessed that confidentiality is uncertain or difficult to maintain, it is preferable to opt for an announced drill.



- (2) Organizational culture - Unannounced drills may be perceived as a test of the participants.
- (3) Ships at the Port Facility - Where it is anticipated that the drill may impact in any way on ships alongside, their crew, agents, suppliers or contractors, ships alongside should be notified in advance of the drill.

12. Management endorsement

The Chief Controller should seek approval from management for the conduct of the drill. Management should be informed of the drill prior to its conduct, even if formal approval is not required.

CONDUCTING THE DRILL

13. Master Events List

- a. The drill begins with the delivery to the Port Facility of the consignment of unaccompanied baggage. When the delivered suitcases have completed screening and are being moved from the screening station to the ship or holding area/room, the control suitcases will be placed in the Restricted Area.

Note: The consignment of unaccompanied baggage has no bearing on the control suitcases, other than for the timing of their placement in the Restricted Area. Controllers may decide to place the control suitcases at any appropriate time if the consignment is deemed to be irrelevant to the drill owing to the location of the Restricted Area in relation to baggage handling areas, etc.

- b. The “injects” (simulated events) for the conduct of the drill are provided in the example of a Master Events List at Appendix 4. These would be introduced on schedule or on completion of the preceding event. Adjustments would be made by the Chief Controller to cater to the prevailing circumstances.

14. Controller briefing

- a. The briefing to controllers will be conducted by the Chief Controller and should include the following:
 - (1) Roles to be played by controllers.
 - (2) Positions of controllers at the commencement of the drill.
 - (3) Transport arrangements.
 - (4) Suggested responses to questioning by security staff.
 - (5) Safety measures.



b. Scenario

A gang of thieves intent on hijacking a ship has successfully smuggled several suitcases containing bombs and weapons into the Port Facility, with the help of a collaborator working inside the Facility. To create a distraction for their embarkation, they have planted two suitcases with bombs in a Restricted Area, and intend to detonate the bomb so as to allow them access to the ship.

b. Tasks

- (1) The two control suitcases are to be left unattended within the Restricted Area, at a reasonably prominent location. The security staff member co-opted as a controller is to surreptitiously place the prepared suitcases in the Restricted Area. He should ensure that he is not observed doing this.
- (2) The Chief Controller will conduct the drill in accordance with the events listed in the Master Events List.
- (3) The Chief Controller should position himself at a suitable location to discreetly observe the proceedings.

15. **Participant briefing**

a. A briefing to participants should be scheduled if it is decided that the drill is to be announced (paragraph 11). The brief to participants should include the following:

- (1) Review of the previous drill, including the lessons learnt.
- (2) Objectives and scenario of the drill to be conducted.
- (3) The Port Facility's security instructions pertaining to the drill being conducted.
- (4) Update on the ISPS Code and/or local regulations.
- (5) Developments in maritime security (news, events, etc).

b. It should not include information or details of the controllers' plans for the drill.



16. Briefing Aids

Briefing slides and notes are provided in the accompanying PowerPoint files. With entries for the names, dates, locations, etc. these may be used to conduct the briefing to controllers and to participants.

17. Condition

The Port Facility is to proceed with its daily business as usual. No prior preparations on the part of the security staff and/or security arrangements are required for the conduct of this drill.

18. Performance Measurement

- a. Performance indicators should be established for this drill. Some may be dependent on the specific circumstances of the Port Facility. Ideally, performance indicators should be objective, but subjective ones may also be observed by the controllers, e.g. the degree of compliance with Port Facility security instructions.
- b. The following objective performance indicators are the target benchmark response times to be achieved for this drill:

FROM	TO	DURATION (minutes)
Planting of suitcases by controller	Detection of the suitcases	x
Notification of suitcases by person finding them	Deployment of response team	y
	Notification sent to local authority e.g. Police, Port Authority (simulated)	z

CONCLUDING THE DRILL

19. The drill shall be ended under the following circumstances:
- a. When the control suitcases are detected by Port Facility staff and all specified actions have been taken by Port facility security staff.
or
 - b. If the suitcases are not detected during the mission, then at a pre-determined time after the start of the drill.
or
 - c. Upon the Chief Controller’s instruction.



20. **Debrief**

- a. Allow some time for the controllers and security staff to gather their thoughts on the events, in preparation for the debrief.
- b. Assemble all participating security staff for debrief
- c. The Chief Controller should conduct the debrief
- d. Appoint a note-taker to record the salient points of the discussion and in particular the lessons learnt and any follow-up actions required. Guidance should be provided to the note-taker as to what is to be recorded.

21. **Reports**

- a. Report the conduct of the drill to the management, either with a written report or verbally, as required by the management. An example of a report is provided at Appendix 5.
- b. If a written report is submitted, arrange for a briefing on the drill to be given at a management meeting to inform top management of the proceedings.

22. **Records**

An ISPS Drills and Exercises Record Book should be maintained by the Port Facility. The following is an example of an entry in the ISPS Drill and Exercises Record Book:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
<i>15/10/XX</i>	<i>Drill</i>	<i>Materials Handling - Unaccompanied baggage</i>	<i>D342 - Unaccompanied baggage found within a Restricted Area</i>	<i>PF/101/08-D342 dated xx/yy/zzzz</i>



D342 TIME-TABLE FOR PLANNING

DAYS TO DRILL	DATE	EVENT	CHECK
D -14	(calendar	Review the Guidelines	
D -14	dates to be	Confirm budget availability for items and/or services to be employed during the drill	
D -12	inserted)	Identify the drill control team	
D -10		Obtain management endorsement if it is required	
D -7		Refine or adjust the Master Events List if necessary	
D -5		Confirm the participants	
D -2		Brief the controllers and issue Letter of Identification, funds, etc.	
D day		Conduct the drill	
D day		Perform the debrief and record the lessons learnt	
D day		Record the conduct of the drill	
D +1		Prepare the written report on the drill	
D +2		Report the conduct of the drill to management	



CODE WORDS

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

CODE WORD	MEANING
Drill Start	The drill is to commence
Drill Suspend	The drill is temporarily suspended
Drill Go	The drill is to resume from where it was suspended
Drill Stop	The drill is to be terminated (prematurely)
Drill End	The drill is completed
For Exercise	The message or statement that follows this preamble relates to the drill only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the drill e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."



Port Facility

12 October XXXX

*The Security Officer
Port Facility*

LETTER OF IDENTIFICATION

This is to certify that *Mr. ABC* is a controller in a *Port Facility* maritime security drill being conducted on *17 October XXXX*. Please contact the undersigned and escort *Mr. ABC* to the Security Office.

signed
Mr. DEF
Port Facility Security Officer

**D342 INJECTS LIST**

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
<i>Date: 12 Oct XX</i>				
001	1600	<i>Controller briefing</i>		<i>Meeting point away from the Port Facility</i>
<i>Date: 17 Oct XX</i>				
002	0900	<i>Participant briefing*</i>		<i>Port Facility</i>
003	0930	<i>Controllers final briefing</i>		<i>Chief Controller's office</i>
004	0945	<i>Controllers at respective positions</i>		<i>Chief Controller at Port Facility baggage security station</i>
005	0946	<i>All security staff at respective positions</i>		<i>As appropriate</i>
006	1000	<i>Drill commence</i>		
007	1040	<i>Controller to place the two control suitcases in the Restricted Area, then leave</i>	<i>Port Facility staff should notice the target suitcases and raise the alarm with security staff</i>	<i>Restricted Area</i>
008	1200	<i>Drill End</i>	<i>Dispersal of personnel</i>	
009	1430	<i>Debrief</i>	<i>Controllers and security staff to report findings and lessons learnt</i>	<i>Staff recreation room</i>
* Not required if the drill is to be conducted without prior notice to the participants				

**REPORT ON THE CONDUCT OF SECURITY DRILL D342**

Type of Drill	<i>Materials Handling - Unaccompanied baggage</i>
Drill Conducted	<i>Unaccompanied baggage found within a Restricted Area</i>
General objective	<i>To reinforce the need for vigilance among Port Facility staff towards baggage security</i>
Date and time	<i>15 October XXXX at 9.45 a.m.</i>
Duration	<i>5 hrs</i>
Controllers	<i>Mr GHJ, Manager, Safety and Security – Chief controller Mr YHU, Controller</i>
Participants	<i>Security staff from Team 2 and Team 3 Participants were not briefed on the conduct of this drill</i>
Significant events	<i>1. Two suitcases were planted in the Restricted Area by controller Mr. TGB. 2. Electrician Mr FGD who was working in the Restricted Area noticed the suitcases when he was on his way out for a break. Mr FGD reported the suitcases to security staff and the PFSO was called. 3. The suitcases were transported to the unaccompanied baggage screening station, and processed. When the unauthorized items were seen on X-ray, Port Facility security instructions for the reporting and handling of dangerous devices were implemented. Include photographs if relevant</i>



<p>Lessons learnt</p>	<p><i>1. Port Facility staff are vigilant and recognized the 2 suitcases left in the Restricted Area as a security threat.</i></p> <p><i>2. Security staff should not have moved the suitcases from their position without first getting professional assessment of the risk. However, the Security Level is at Level 1 and there have been no threat warnings. There was also a consignment of unaccompanied baggage during the morning, and it was assessed that the suitcases were misplaced from that consignment.</i></p> <p>Include photographs if relevant</p>
<p>Follow-up action</p>	<p><i>1. All employees will be reminded to be alert to unattended items, including baggage, that may be left in a Restricted Area.</i></p> <p><i>2. The Port Facility security instructions will be amended to include a caution on handling baggage that is found in unusual circumstances.</i></p>
<p>Performance indicators</p>	<p><i>1. From Planting of suitcases by controller to Detection of the suitcases – x minutes</i></p> <p><i>2. From Notification of suitcases by person finding them to Deployment of response team – y minutes</i></p> <p><i>3. From Notification of suitcases by person finding them to Notification sent to local authority e.g. Police, Port Authority (simulated) – z minutes</i></p>
<p>Total cost</p>	<p>\$xxx</p>



Drill	D343
Category	Materials Handling
Type	Unaccompanied baggage
Subject	Vehicle carrying unaccompanied baggage seeking entry to the Port Facility
Security Level	1 and 2
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Vol I Part 1 – Guidelines for the Conduct of Maritime Security Drills 4. ISPS Code

INTRODUCTION

1. Unaccompanied baggage must be screened, and if the security conditions warrant it, searched before being embarked on board ships. Port Facilities that process unaccompanied baggage should have the facilities to perform the screening, including x-ray machines.
2. A consignment of unaccompanied baggage will be delivered to the Port Facility. Included in the consignment will be two “control” bags containing unauthorized items. This drill will require security staff to screen unaccompanied baggage arriving at the Port Facility by vehicle, and detect the two bags containing unauthorized items hidden among other baggage.

AIM OF THE DRILL

3. **General Objective**

To reinforce the need for vigilance among Port Facility staff towards baggage security

4. **Specific Objectives**

- a. To practice security staff in the screening of unaccompanied baggage



- b. To validate the procedures for processing unaccompanied baggage
- c. To enhance the security awareness of threats to the Port Facility
- d. Meet or better the specified benchmark response times for this drill.

REQUIRED ATTAINMENTS

- 5. On completion of the drill, Port Facility security staff will be able to:
 - a. Conduct security checks on vehicles carrying unaccompanied baggage
 - b. Screen unaccompanied baggage using all means at their disposal
 - c. Take action on suspicious unaccompanied baggage

PLANNING FOR THE DRILL

6. **Timetable**

The date for the conduct of this drill should be scheduled in the Port Facility's annual work program. Preparations for this drill should commence 2 weeks prior to the date of conduct. An example of a time-table for the preparation and conduct of this drill is given in Appendix 1.

7. **Personnel**

- a. Control Team

(1) The Chief Controller may be the Port Facility Security Officer (PFSO) or a manager in charge of security matters. Where the first line response by security staff involves the PFSO, a manager should be considered for the appointment of Chief Controller. This will free the PFSO to respond to the situation as it develops during the drill.

(2) The driver and assistant (if any) for the consignment of unaccompanied baggage are to be designated as controllers.

- b. Participants

The participants will be the Port Facility security staff.



8. Resources

a. Unaccompanied baggage delivery

The Chief Controller should time this drill with the delivery to the Port Facility of a consignment of unaccompanied baggage. A meeting should be arranged to explain the nature and purpose of the drill to the consignor and request their participation. Arrangements should be made with the consignor to include two bags in a normal consignment of unaccompanied baggage to be delivered to a ship at the Port Facility. The two bags should not be listed in the manifest. The two bags should be prepared or arranged by the Chief Controller and will contain clothing and:

- (1) Bag 1 – to contain batteries connected by wires to a metal box to simulate an improvised explosive device hidden in the bag.
- (2) Bag 2 – to contain a weapon (toy weapon).

b. Communications

(1) **Equipment**

(a) Mobile phone: It is recommended that mobile phones should be the preferred means of communications between the Chief Controller and the controllers, subject to the availability of a cell phone network at the location of the Port Facility.

(b) Walkie-talkie: When using walkie-talkies, note that they have a short range and short battery life. They are usually bulky and may not be easily concealed, and they may be subject to interference if left switched on, leading to discovery at awkward moments.

(2) **Codewords**

Code words are used to provide brevity and clarity in communications during the conduct of a drill. A list of suggested code words is given in Appendix 2. The code words must be promulgated to all controllers and participants of the drill.



(3) **Security**

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

c. Other requirements

- (1) Location for the debrief
- (2) Refreshments e.g. during the debrief
- (3) Person to take notes during the debrief
- (4) Stationery for note-taking

9. **Safety**

- a. It is not expected that safety would be of special concern during this drill.
- b. Controllers with roles as intruders or drivers, etc. should be issued with a letter of identification provided in Appendix 3 to forestall any undesirable action or behavior on the part of security staff toward them.

10. **Budget**

Funding may be needed for the following:

- a. Arrangements for the control baggage.
- b. Refreshments for the debrief.
- d. Reimbursement of expenses incurred by controllers or staff.

11. **Policy for disclosure**

- a. The Chief Controller should decide if the drill is to be announced (i.e. participants such as security staff will be notified of the conduct of the drill) or the conduct of the drill will not be announced beforehand (i.e. the participants will not be informed of the conduct of the drill).
- b. In deciding the mode, the following may be taken into consideration:
 - (1) Security - Where it is assessed that confidentiality is uncertain or difficult to maintain, it is preferable to opt for an announced drill.
 - (2) Organizational culture - Unannounced drills may be perceived as a test of the participants.



- (3) Ships at the Port Facility - Where it is anticipated that the drill may impact in any way on ships alongside, their crew, agents, suppliers or contractors, ships alongside should be notified in advance of the drill.

12. Management endorsement

The Chief Controller should seek approval from management for the conduct of the drill. Management should be informed of the drill prior to its conduct, even if formal approval is not required.

CONDUCTING THE DRILL

13. Master Events List

- a. The drill begins with the delivery to the Port Facility of the consignment of unaccompanied bags, as pre-arranged by the Chief Controller. Port Facility security screening of the unaccompanied baggage is expected to be performed, and the unauthorized items should be discovered. Security staffs are expected to act on the screening of the baggage and discovery of the unauthorized items in accordance with the Port Facility's security instructions.
- b. The "injects" (simulated events) for the conduct of the drill are provided in the example of a Master Events List at Appendix 4. These would be introduced on schedule or on completion of the preceding event. Adjustments would be made to cater to the prevailing circumstances.

14. Controller briefing

- a. The briefing to controllers will be conducted by the Chief Controller and should include the following:
 - (1) Roles to be played by controllers.
 - (2) Positions of controllers at the commencement of the drill.
 - (3) Transport arrangements.
 - (4) Suggested responses to questioning by security staff.
 - (5) Safety measures.

- b. Scenario

Terrorists are attempting to hijack a passenger liner. They are aware of the security measures for passengers embarking and try to smuggle arms and explosives on board in unaccompanied baggage.



c. Tasks

(1) The two control bags will be loaded in the consignment of unaccompanied baggage along with the other bags in the consignment. The consignment will be processed at the Port Facility in the normal manner with the appropriate documents. The driver will comply with the specified procedures to transport the unaccompanied baggage into the Port Facility's screening station.

(2) A simulated dialogue between the driver of the vehicle delivering unaccompanied baggage and the Port Facility security staff is provided at Appendix 5. It is not meant as a script, but a guide to the possible interaction.

(3) The Chief Controller will conduct the drill in accordance with the events listed in the Master Events List.

(4) The Chief Controller should position himself at a suitable location to discreetly observe the proceedings.

15. **Participant briefing**

a. A briefing to participants should be scheduled if it is decided that the drill is to be announced (paragraph 11). The brief to participants should include the following:

(1) Review of the previous drill, including the lessons learnt.

(2) Objectives and scenario of the drill to be conducted.

(3) The Port Facility's security instructions pertaining to the drill being conducted.

(4) Update on the ISPS Code and/or local regulations.

(5) Developments in maritime security (news, events, etc).

b. It should not include information or details of the controllers' plans for the drill.



16. Briefing Aids

Briefing slides and notes are provided in the accompanying PowerPoint files. With entries for the names, dates, locations, etc. these may be used to conduct the briefing to controllers and to participants.

17. Condition

The Port Facility is to proceed with its daily business as usual. No prior preparations on the part of the security staff and/or security arrangements are required for the conduct of this drill.

18. Performance Measurement

- a. Performance indicators should be established for this drill. Some may be dependent on the specific circumstances of the Port Facility. Ideally, performance indicators should be objective, but subjective ones may also be observed by the controllers, e.g. the degree of compliance with Port Facility security instructions.
- b. The following objective performance indicators are the target benchmark response times to be achieved for this drill:

FROM	TO	DURATION (minutes)
Detection of unauthorized items in the bags	Notification to local authority	x

CONCLUDING THE DRILL

19. The drill shall be ended under the following circumstances:
 - a. When the bags with the unauthorized items are detected by security staff and action taken in accordance with Port Facility security instructions.
or
 - b. If the bags are not detected during the mission, then at a pre-determined time after the start of the drill.
or
 - c. Upon the Chief Controller's instruction.



20. Debrief

- a. Allow some time for the controllers and security staff to gather their thoughts on the events, in preparation for the debrief.
- b. Assemble all participating security staff for debrief.
- c. The Chief Controller should conduct the debrief.
- d. Appoint a note-taker to record the salient points of the discussion and in particular the lessons learnt and any follow-up actions required. Guidance should be provided to the note-taker as to what is to be recorded.

21. Reports

- a. Report the conduct of the drill to the management, either with a written report or verbally, as required by the management. An example of a report is provided at Appendix 6.
- b. If a written report is submitted, arrange for a briefing on the drill to be given at a management meeting to inform top management of the proceedings.

22. Records

An ISPS Drills and Exercises Record Book should be maintained by the Port Facility. The following is an example of an entry in the ISPS Drill and Exercises Record Book:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
<i>15/10/XX</i>	<i>Drill</i>	<i>Materials Handling - Unaccompanied baggage</i>	<i>D343 - Vehicle carrying unaccompanied baggage seeking entry to the Port Facility</i>	<i>PF/101/08-D343 dated xx/yy/zzzz</i>



D343 TIME-TABLE FOR PLANNING

DAYS TO DRILL	DATE	EVENT	CHECK
D -14	(calendar	Review the Guidelines	
D -14	dates to be	Confirm budget availability for items and/or services to be employed during the drill	
D -12	inserted)	Identify the drill control team	
D -10		Obtain management endorsement if it is required	
D -7		Refine or adjust the Master Events List if necessary	
D -5		Confirm the participants	
D -2		Brief the controllers and issue Letter of Identification, funds, etc.	
D day		Conduct the drill	
D day		Perform the debrief and record the lessons learnt	
D day		Record the conduct of the drill	
D +1		Prepare the written report on the drill	
D +2		Report the conduct of the drill to management	



CODE WORDS

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

CODE WORD	MEANING
Drill Start	The drill is to commence
Drill Suspend	The drill is temporarily suspended
Drill Go	The drill is to resume from where it was suspended
Drill Stop	The drill is to be terminated (prematurely)
Drill End	The drill is completed
For Exercise	The message or statement that follows this preamble relates to the drill only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the drill e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."



Port Facility

12 October XXXX

*The Security Officer
Port Facility*

LETTER OF IDENTIFICATION

This is to certify that *Mr. ABC* is a controller in a *Port Facility* maritime security drill being conducted on *17 October XXXX*. Please contact the undersigned and escort *Mr. ABC* to the Security Office.

signed
Mr. DEF
Port Facility Security Officer

**D343 MASTER EVENTS LIST**

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
<i>Date: 12 Oct XX</i>				
001	1600	<i>Controller briefing</i>		<i>Meeting point away from the Port Facility</i>
<i>Date: 17 Oct XX</i>				
002	0900	<i>Controllers final briefing</i>		<i>Telephone briefing should be adequate</i>
003	0930	<i>Participant briefing*</i>		<i>Staff canteen</i>
004	0945	<i>Controllers at respective positions</i>		<i>Chief Controller at Port Facility entrance</i>
005	1000	<i>All security staff at respective positions</i>		<i>As appropriate</i>
006	1001	<i>Drill commence</i>		
007	1030	<i>Vehicle to enter Port Facility</i>	<i>Security staff to screen vehicle</i>	<i>Port Facility entrance</i>
008	1045	<i>Vehicle to proceed to the baggage screening station</i>	<i>Security staff to screen unaccompanied baggage. Unauthorized items should be detected</i>	<i>Baggage screening station</i>
009	1200	<i>Drill End</i>	<i>Dispersal of personnel</i>	
010	1430	<i>Debrief</i>	<i>Controllers and security staff to report findings and lessons learnt</i>	<i>Staff recreation room</i>
* Not required if the drill is to be conducted without prior notice to the participants				



**D 343 POSSIBLE DIALOGUE BETWEEN THE SECURITY STAFF
AND THE VEHICLE DRIVER**

This dialogue serves as a guide to meet the simulation requirements of the drill. It is not meant as a script either for the security staff or the driver, but as a guide to the intent and content of the possible communication.

Security staff to Driver	<i>How did these two bags get into the truck?</i>
Driver to Security staff	<i>They must have been loaded at the office. I did not see the loading.</i>
Security staff to Driver	<i>Did you stop your vehicle anywhere along the way from your office?</i>
Driver to Security staff	<i>No</i>
Security staff to Driver	<i>Did you notice anyone approaching your vehicle anywhere along the way?</i>
Driver to Security staff	<i>No</i>

**REPORT ON THE CONDUCT OF SECURITY DRILL D343**

Type of Drill	<i>Materials Handling - Unaccompanied baggage</i>
Drill Conducted	<i>Vehicle carrying unaccompanied baggage seeking entry to the Port Facility</i>
General objective	<i>To reinforce the need for vigilance among Port Facility staff towards baggage security</i>
Date and time	<i>15 October XXXX at 0900 hrs</i>
Duration	<i>5 hrs</i>
Controllers	<i>Mr GHJ, Manager, Safety and Security – Chief controller Mr YHU, Driver, Vehicle 1</i>
Participants	<i>Security staff from Team 2 and Team 3 Participants were briefed on the conduct of this drill</i>
Significant events	<i>1. A vehicle was tasked to transport unaccompanied baggage to a ship alongside. 2. The vehicle entered the Port Facility to make a bona fide delivery of unaccompanied baggage to MV GBN. At the baggage screening station, the unauthorized items were seen on X-ray, and Port Facility security instructions for the reporting and handling of dangerous devices were implemented. Include photographs if relevant</i>



Lessons learnt	<p><i>1. Unaccompanied baggage represents a special threat as the consignors are not on board the ship. Such baggage must therefore be subject to careful screening to prevent security incidents.</i></p> <p><i>2. Personnel associated with the unauthorized items, in this case the driver of the vehicle, should be handed over to the local authority for investigation.</i></p> <p>Include photographs if relevant</p>
Follow-up action	<p><i>1. All employees will be reminded to be alert to unauthorized items in unaccompanied baggage.</i></p> <p><i>2. Reminders will be posted on the security office Notice Boards for the next 2 weeks.</i></p>
Performance indicators	<p><i>From Detection of unauthorized items in the bags to Notifying the Police – x minutes</i></p>
Total cost	<p>\$xxx</p>



Section 4

Emergency Response

The range of challenges that face security staff is considerable. There is first and foremost, their routine day-to-day security function, which must be performed conscientiously if they are to be effective. Beyond that is the realm of unexpected challenges or emergencies. These may range from a compromise of security measures, such as a breach in a perimeter fence or a breakdown of an alarm system, to the greater challenges of bomb threats and the need for evacuation for a variety of reasons, including natural disasters. In all these, security staffs play a major role, for they must not only respond to these threats but also demonstrate leadership qualities in dealing with the threat as well as the Port Facility personnel. Adequate and regular drills will make a significant contribution to their competence when an emergency strikes.

DRILL	TITLE
	Security measures compromised
D411	Security surveillance equipment malfunction
D412	Perimeter security compromised
D413	Activation of intrusion alarm
D414	Activation of Ship Security Alert System
	Contingencies
D421	Power failure
D422	Bomb threat
D423	Evacuation
D424	Changing the Security Level



Drill	D411
Category	Emergency Response
Type	Security measures compromised
Subject	Security surveillance equipment malfunction
Security Level	1 and 2
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Vol I Part 1 – Guidelines for the Conduct of Maritime Security Drills 4. ISPS Code

INTRODUCTION

1. Surveillance equipment are an important defence against security threats to a Port Facility. They include cameras, motion sensors, thermal sensors, vibration sensors (for fences), magnetic sensors (for doors and windows), etc. In order to ensure their continued effectiveness, most operators will specify daily checks of their operational status in their security instructions or procedures. However, detection of equipment failures during operation would still have to depend on the vigilance of the security staff who monitor the equipment.

2. This drill will require security staff to respond to two surveillance system malfunctions that will be initiated by the controllers as technical defects. Upon detection of the malfunction alarm, security staff are expected to act in accordance with the equipment operating instructions and Port Facility Security Plan.

AIM OF THE DRILL

3. **General Objective**

To raise the awareness of the risk from failures of security measures at the Port Facility.



4. **Specific Objectives**

- a. To test the vigilance of security staff to failures of the surveillance equipment.
- b. To raise the awareness of the security risk from surveillance equipment failures.
- c. To test the procedures for the management of surveillance equipment failures.
- d. Meet or better the specified benchmark response times for this drill.

REQUIRED ATTAINMENTS

5. On completion of the drill, Port Facility employees and security staff will be able to:
 - a. Detect failures in surveillance equipment.
 - b. Perform the checks to confirm the nature of the failure.
 - c. Report the failure and track the rectification process.

PLANNING FOR THE DRILL

6. **Timetable**

The date for the conduct of this drill should be scheduled in the Port Facility's annual work program. Preparations for this drill should commence 2 weeks prior to the date of conduct. An example of a time-table for the preparation and conduct of this drill is given in Appendix 1

7. **Personnel**

- a. Control Team

- (1) The Chief Controller may be the Port Facility Security Officer (PFSO) or a manager in charge of security matters. Where the first line response by security staff involves the PFSO, a manager should be considered for the appointment of Chief Controller. This will free the PFSO to respond to the situation as it develops during the drill.



(2) The Chief Controller is to co-opt a member of the Port Facility security staff as a controller.

b. Participants

The participants will be the Port Facility security staff.

c. Safety Officer

The appointment of a safety officer for this drill may be considered.

8. **Resources**

a. Surveillance Systems

The Chief Controller will determine which surveillance systems would be involved in the drill. He will consult with the suppliers to establish how to simulate a defect in the surveillance system so that a failure alarm would be activated that security staff would be able to respond to.

b. Communications

(1) **Equipment**

(a) **Mobile phone:** It is recommended that mobile phones should be the preferred means of communications between the Chief Controller and the controllers, subject to the availability of a cell phone network at the location of the Port Facility.

(b) **Walkie-talkie:** When using walkie-talkies, note that they have a short range and short battery life. They are usually bulky and may not be easily concealed, and they may be subject to interference if left switched on, leading to discovery at awkward moments.

(2) **Code words**

Code words are used to provide brevity and clarity in communications during the conduct of a drill. A list of suggested code words is given in Appendix 2. The code words must be promulgated to all controllers and participants of the drill.



(3) **Security**

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

c. Other requirements

- (1) Location for the debrief
- (2) Refreshments e.g. during the debrief
- (3) Person to take notes during the debrief
- (4) Stationery for note-taking

9. **Safety**

Security staff activity in connection with this drill would be monitored by the Safety Officer, if one is appointed. The Safety Officer should station himself at a location where he would be

- a. Able to observe the majority of events
- b. Near where potentially hazardous activity may take place
- c. Accessible should he be required in a contingency

10. **Budget**

Funding may be needed for the following:

- a. Refreshments for the debrief.
- b. Reimbursement of expenses incurred by controllers or staff.

11. **Policy for disclosure**

- a. The Chief Controller should decide if the drill is to be announced (i.e. participants such as security staff will be notified of the conduct of the drill) or the conduct of the drill will not be announced beforehand (i.e. the participants will not be informed of the conduct of the drill).
- b. In deciding the mode, the following may be taken in to consideration:
 - (1) Security - Where it is assessed that confidentiality is uncertain or difficult to maintain, it is preferable to opt for an announced drill.



- (2) Organizational culture - Unannounced drills may be perceived as a test of the participants.
- (3) Ships at the Port Facility - Where it is anticipated that the drill may impact in any way on ships alongside, their crew, agents, suppliers or contractors, ships alongside should be notified in advance of the drill.

12. Management endorsement

The Chief Controller should seek approval from management for the conduct of the drill. Management should be informed of the drill prior to its conduct, even if formal approval is not required.

CONDUCTING THE DRILL

13. Master Events List

- a. The drill begins with one security surveillance system experiencing a technical malfunction. The Chief Controller will initiate the malfunction simulation with the advice or assistance of the equipment suppliers. Mid-way through the security staff response to the first malfunction, the Chief Controller may activate the second equipment malfunction. Security staffs are expected to respond to the two surveillance system malfunctions in accordance with the Port Facility's security instructions.
- b. The "injects" (simulated events) for the conduct of the drill are provided in the example of a Master Events List at Appendix 3. These would be introduced on schedule or on completion of the preceding event. Adjustments would be made to cater to the prevailing circumstances.

14. Controller briefing

- a. The briefing to controllers will be conducted by the Chief Controller and should include the following:
 - (1) Roles to be played by controllers.
 - (2) Positions of controllers at the commencement of the drill.
 - (3) Transport arrangements.
 - (4) Suggested responses to questioning by security staff.
 - (5) Safety measures.



b. Scenario

A surveillance camera and a motion sensor experience technical malfunctions.

c. Tasks

- (1) The Chief Controller will select the surveillance equipment to be disabled for this drill. The process of disabling the equipment will depend on the specific equipment, but such disablement must not result in damage to the equipment.
- (2) The security staff co-opted as controller will disable the surveillance equipment as directed by the Chief Controller and note the time of disablement. He must not be observed by security staff on duty.
- (3) Upon disabling the motion sensor, the controller will remain at the location to check the time of arrival of any security team investigating the cause of the alarm.
- (4) The Chief Controller will conduct the drill in accordance with the events listed in the Master Events List.
- (5) The Chief Controller should position himself at a suitable location to discreetly observe the proceedings.

15. **Participant briefing**

a. A briefing to participants should be scheduled if it is decided that the drill is to be announced (paragraph 11). The brief to participants should include the following:

- (1) Review of the previous drill, including the lessons learnt
- (2) Objectives and scenario of the drill to be conducted
- (3) The Port Facility's security instructions pertaining to the drill being conducted
- (4) Update on the ISPS Code and/or local regulations
- (5) Developments in maritime security (news, events, etc)

b. It should not include information or details of the controllers' plans for the drill.



16. Briefing Aids

Briefing slides and notes are provided in the accompanying PowerPoint files. With entries for the names, dates, locations, etc. these may be used to conduct the briefing to controllers and to participants.

17. Conditions

The Port Facility is to proceed with its daily business as usual. No prior preparations on the part of the participants and/or security arrangements are required for the conduct of this drill.

18. Performance Measurement

a. Performance indicators should be established for this drill. Some may be dependent on the specific circumstances of the Port Facility. Ideally, performance indicators should be objective, but subjective ones may also be observed by the controllers, e.g. the degree of compliance with Port Facility security instructions.

b. The following objective performance indicators are the target benchmark response times to be achieved for this drill:

FROM	TO	DURATION (minutes)
Activation of surveillance camera malfunction alarm	Deployment of repair team	u
	Informing PFSO	v
	Deployment of additional security detail	w
Activation of motion sensor malfunction alarm	Deployment of repair team	x
	Informing PFSO	y
	Deployment of additional security detail	z

CONCLUDING THE DRILL

19. The drill shall be ended under the following circumstances:

a. When all “malfunctioning” surveillance equipment has been detected. The time of detections must be noted.

or



- b. At a pre-determined time after the commencement of the drill.
- or
- c. Upon the Chief Controller's instruction.

20. **Debrief**

- a. Allow some time for the controllers and security staff to gather their thoughts on the events, in preparation for the debrief.
- b. Assemble all participating security staff for debrief
- c. The Chief Controller should conduct the debrief
- d. Appoint a note-taker to record the salient points of the discussion and in particular the lessons learnt and any follow-up actions required. Guidance should be provided to the note-taker as to what is to be recorded.

21. **Reports**

- a. Report the conduct of the drill to the management, either with a written report or verbally, as required by the management. An example of a report is provided at Appendix 4.
- b. If a written report is submitted, arrange for a briefing on the drill to be given at a management meeting to inform top management of the proceedings.

22. **Records**

An ISPS Drills and Exercises Record Book should be maintained by the Port Facility. The following is an example of an entry in the ISPS Drill and Exercises Record Book:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
<i>15/10/XX</i>	<i>Drill</i>	<i>Emergency Response – Security measures compromised</i>	<i>D411 - Security surveillance equipment malfunction</i>	<i>PF/101/08-D411 dated xx/yy/zzzz</i>



D411 TIME-TABLE FOR PLANNING

DAYS TO DRILL	DATE	EVENT	CHECK
D -14	(calendar	Review the Guidelines	
D -14	dates to be	Confirm budget availability for items and/or services to be employed during the drill	
D -12	inserted)	Identify the drill control team	
D -10		Obtain management endorsement if it is required	
D -7		Refine or adjust the Master Events List if necessary	
D -5		Confirm the participants	
D -2		Brief the controller	
D day		Conduct the drill	
D day		Perform the debrief and record the lessons learnt	
D day		Record the conduct of the drill	
D +1		Prepare the written report on the drill	
D +2		Report the conduct of the drill to management	



CODE WORDS

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

CODE WORD	MEANING
Drill Start	The drill is to commence
Drill Suspend	The drill is temporarily suspended
Drill Go	The drill is to resume from where it was suspended
Drill Stop	The drill is to be terminated (prematurely)
Drill End	The drill is completed
For Exercise	The message or statement that follows this preamble relates to the drill only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the drill e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."

**D411 MASTER EVENTS LIST**

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
<i>Date: 12 Oct XX</i>				
001	1600	Controller briefing		Chief Controller's office
<i>Date: 17 Oct XX</i>				
002	0900	Participant briefing*		Port Facility
003	0930	Controller final briefing		Chief Controller's office
004	1000	All security staff at respective positions		As appropriate
005	1015	Controllers at respective positions		Chief Controller at Security Office
006	1016	Drill commence		Port Facility
007	1020	Controller to simulate malfunction in surveillance camera No. 6	Security staff monitoring the surveillance cameras to detect "malfunction"	Perimeter fence
008	1130	Controller to simulate malfunction in motion sensor No. 9 and remain in that location	Monitor alarm should sound and security staff to take action to investigate	Perimeter fence
009	1200	Drill End	Dispersal of personnel	
010	1430	Debrief	Controllers and security staff to report findings and lessons learnt	Staff recreation room
* Not required if the drill is to be conducted without prior notice to the participants				

**REPORT ON THE CONDUCT OF SECURITY DRILL D411**

Type of Drill	<i>Emergency Response – Security measures compromised</i>
Drill Conducted	<i>Security surveillance equipment malfunction</i>
General objective	<i>To raise the awareness of the risk from failures of security measures at the Port Facility</i>
Date and time	<i>15 October XXXX at 0900 hrs.</i>
Duration	<i>5 hrs</i>
Controllers	<i>Mr GHJ, Manager, Safety and Security – Chief controller Mr YHU, Controller</i>
Participants	<i>Security staff from Team 2 and Team 3 Participants were not briefed on the conduct of this drill</i>
Significant events	<i>1. Mr YHU was tasked to induce malfunction of surveillance equipment by: a. Covering the lens of security camera No. 6 b. Disabling motion sensor No. 9 2. Security staff monitoring the camera displays did not notice the malfunctioning camera until 17 minutes after the lens was covered. This was because the display was left in “scan” mode where the monitor showed the picture of only 1 camera at a time. Just before camera No. 6 came on-screen, the security staff was distracted by a visitor wishing to obtain a visitor’s pass. On completion of processing the visitor, the scan had passed camera No. 6.</i>



<p>Significant events</p>	<p><i>3. The disabling of the motion sensor caused an alarm to sound at the security station. The security staff took prompt action to get a team to investigate the cause of the alarm at the site of motion sensor No. 9. They arrived 8 minutes after the alarm sounded.</i></p> <p>Include photographs if relevant</p>
<p>Lessons learnt</p>	<p><i>1. As there is only one security staff on duty at the Security Office, and he has to attend to visitors as well, he cannot pay attention to the camera monitor all the time.</i></p> <p><i>2. No action was taken to ascertain if the alarm was a false alarm caused by equipment failure in the monitoring station. Time would be saved for rectification if simultaneous action were taken to check this.</i></p> <p>Include photographs if relevant</p>
<p>Follow-up action</p>	<p><i>1. Security staff on duty at the Security Office should switch the camera monitor to multiple view (i.e. camera shows a montage of all camera views on screen at the same time) and have a quick check before turning their attention to other matters, such as attending to visitors.</i></p> <p><i>2. PFSO will put up a proposal to consider motion alarm software for the camera display.</i></p> <p><i>3. The Port Facility security instructions will be amended to include a requirement for security staff to simultaneously call for maintenance support to check security alarms when these are activated in addition to calling for the security team to check at the sensor site.</i></p>



Performance indicators	<ol style="list-style-type: none">1. <i>From the Activation of surveillance camera malfunction alarm to the Deployment of repair team – u minutes</i>2. <i>From the Activation of surveillance camera malfunction alarm to Informing the PFSO – v minutes</i>3. <i>From the Activation of surveillance camera malfunction alarm to the Deployment of additional security detail – w minutes</i>4. <i>From the Activation of motion sensor malfunction alarm to the Deployment of repair team – x minutes</i>5. <i>From the Activation of motion sensor malfunction alarm to Informing the PFSO – y minutes</i>
Total cost	\$xxx



Drill	D412
Category	Emergency Response
Type	Security measures compromised
Subject	Perimeter security compromised
Security Level	1 and 2
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Vol I Part 1 – Guidelines for the Conduct of Maritime Security Drills 4. ISPS Code

INTRODUCTION

1. Perimeter security is the first line of defence against intruders. This would usually take the form of a perimeter barrier such as fencing, and secondary measures such as surveillance cameras, lighting, motion detectors and perimeter patrols. When perimeter security measures are compromised, the primary concern is to detect the breach, then address the counter-measures.

2. This drill will require security staff to respond to an “intrusion” by a controller through a simulated breach in the perimeter fence of the Port Facility. A controller acting as an “intruder” will make a pre-arranged intrusion into the Port Facility. The normal security arrangements at the Port Facility are then expected to allow detection of the “intruder” and intervention by security staff in accordance with the Port Facility’s security instructions.

AIM OF THE DRILL

3. **General Objective**

To raise the awareness of the risk from failures of security measures at the Port Facility.



4. **Specific Objectives**

- a. To test the procedures for the management of a perimeter security failure.
- b. To raise the awareness of the threat of unauthorized personnel entering the Port Facility.
- c. To test the procedures for handling “intruders” in Port Facility premises.
- d. Meet or better the specified benchmark response times for this drill.

REQUIRED ATTAINMENTS

5. On completion of the drill, Port Facility employees and security staff will be able to:
 - a. Detect a failure in the Port Facility’s perimeter security
 - b. Apply the procedures in the Port Facility security instructions to prevent an entry through the perimeter fence
 - c. Recognize, challenge and apprehend intruders in accordance with the Port Facility’s security instructions

PLANNING FOR THE DRILL

6. **Timetable**

The date for the conduct of this drill should be scheduled in the Port Facility’s annual work program. Preparations for this drill should commence 2 weeks prior to the date of conduct. An example of a time-table for the preparation and conduct of this drill is given in Appendix 1

7. **Personnel**

- a. Control Team

- (1) The Chief Controller may be the Port Facility Security Officer (PFSO) or a manager in charge of security matters. Where the first line response by security staff involves the PFSO, a manager should be considered for the appointment of Chief Controller. This will free the PFSO to respond to the situation as it develops during the drill.



(2) The Chief Controller is to arrange for one person to be an “intruder” (who is also designated a controller). The person should not be familiar to Port Facility security staff.

b. Participants

The participants will be the Port Facility security staff.

c. Safety Officer

The appointment of a safety officer for this drill should be considered.

8. **Resources**

a. Communications

(1) **Equipment**

(a) Mobile phone: It is recommended that mobile phones should be the preferred means of communications between the Chief Controller and the controllers, subject to the availability of a cell phone network at the location of the Port Facility.

(b) Walkie-talkie: When using walkie-talkies, note that they have a short range and short battery life. They are usually bulky and may not be easily concealed, and they may be subject to interference if left switched on, leading to discovery at awkward moments.

(2) **Codewords**

Code words are used to provide brevity and clarity in communications during the conduct of a drill. A list of suggested code words is given in Appendix 2. The code words must be promulgated to all controllers and participants of the drill.

(3) **Security**

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



b. Other requirements

- (1) Location for the debrief
- (2) Refreshments e.g. during the debrief
- (3) Person to take notes during the debrief
- (4) Stationery for note-taking

9. **Safety**

a. Security staff activity in connection with this drill would be monitored by the Safety Officer, if one is appointed. The Safety Officer should station himself at a location where he would be:

- (1) Able to observe the majority of events
- (2) Near where potentially hazardous activity may take place
- (3) Accessible should he be required in a contingency

b. Controllers with roles as intruders or drivers, etc. should be issued with a letter of identification provided in Appendix 3 to forestall any undesirable action or behavior on the part of security staff toward them.

10. **Budget**

Funding may be needed for the following:

- a. Employment of “intruders”.
- b. Transportation costs for the “intruders”.
- c. Refreshments for the debrief.
- d. Reimbursement of expenses incurred by controllers or staff.

11. **Policy for disclosure**

a. The Chief Controller should decide if the drill is to be announced (i.e. participants such as security staff will be notified of the conduct of the drill) or the conduct of the drill will not be announced beforehand (i.e. the participants will not be informed of the conduct of the drill).

b. In deciding the mode, the following may be taken into consideration:

- (1) Security - Where it is assessed that confidentiality is uncertain or difficult to maintain, it is preferable to opt for an announced drill.



- (2) Organizational culture - Unannounced drills may be perceived as a test of the participants.
- (3) Ships at the Port Facility - Where it is anticipated that the drill may impact in any way on ships alongside, their crew, agents, suppliers or contractors, ships alongside should be notified in advance of the drill.

12. Management endorsement

The Chief Controller should seek approval from management for the conduct of the drill. Management should be informed of the drill prior to its conduct, even if formal approval is not required.

CONDUCTING THE DRILL

13. Master Events List

- a. The drill begins when a controller, acting as an “intruder”, enters Port Facility premises unobserved through a simulated breach in the perimeter fence (e.g. using a side gate that has been pre-arranged to be left open, or the controller is given the key to the gate). Other security measures such as surveillance systems would remain operational. Detection of the “intruder” is left to the normal security arrangements at the Port Facility, and following the detection, intervention by security staff in accordance with the Port Facility’s security instructions should then be expected.
- b. The “injects” (simulated events) for the conduct of the drill are provided in the example of a Master Events List at Appendix 4. These would be introduced on schedule or on completion of the preceding event. Adjustments would be made to cater to the prevailing circumstances.

14. Controller briefing

- a. The briefing to controllers will be conducted by the Chief Controller and should include the following:
 - (1) Roles to be played by controllers.
 - (2) Positions of controllers at the commencement of the drill.
 - (3) Transport arrangements.
 - (4) Suggested responses to questioning by security staff.
 - (5) Safety measures.



b. Scenario

A separatist group has decided to make the Port Facility the target for its next sabotage attempt. It has sent one of its operatives to assess the security measures for a sabotage operation in the future.

c. Tasks

- (1) The intruder will make a covert attempt to gain access into the Port Facility through a breach in the perimeter fence. The breach in the perimeter fence may be simulated by an open side gate. A well-timed and stealthy approach is required to defeat perimeter patrols, security guards, etc. The “intruder” must make the best of each situation to gain entry.
- (2) Upon entry, the “intruder” will proceed to walk about the Port Facility for a duration that is assessed by the controllers that would allow a quick survey of the Port Facility. The “intruder” should then exit via his ingress route or simply by boldly walking out the gate.
- (3) The Chief Controller will determine the commencement positions.
- (4) The Chief Controller will conduct the drill in accordance with the events listed in the Master Events List.
- (5) The Chief Controller should position himself at a suitable location to discreetly observe the proceedings.

15. **Participant briefing**

a. A briefing to participants should be scheduled if it is decided that the drill is to be announced (paragraph 11). The brief to participants should include the following:

- (1) Review of the previous drill, including the lessons learnt
- (2) Objectives and scenario of the drill to be conducted
- (3) The Port Facility’s security instructions pertaining to the drill being conducted
- (4) Update on the ISPS Code and/or local regulations
- (5) Developments in maritime security (news, events, etc)



- b. It should not include information or details of the controllers' plans for the drill.

16. Briefing Aids

Briefing slides and notes are provided in the accompanying PowerPoint files. With entries for the names, dates, locations, etc. these may be used to conduct the briefing to controllers and to participants.

17. Condition

The Port Facility is to proceed with its daily business as usual. No prior preparations on the part of the participants and/or security arrangements are required for the conduct of this drill.

18. Performance Measurement

- a. Performance indicators should be established for this drill. Some may be dependent on the specific circumstances of the Port Facility. Ideally, performance indicators should be objective, but subjective ones may also be observed by the controllers, e.g. the degree of compliance with Port Facility security instructions.
- b. The following objective performance indicators are the target benchmark response times to be achieved for this drill:

FROM	TO	DURATION (minutes)
Entry of "intruder" through perimeter fence	Detection of the intruder	x
Detection of intruder	Deployment of response team	y
Deployment of response team	Arrival at site of detection	z

CONCLUDING THE DRILL

- 19. The drill shall be ended under the following circumstances:
 - a. When the "intruder" has attained his mission i.e. gained covert access and made observations of the Port Facility that may be used in planning an attack.
or



- b. When the “intruder” is detected within the Port Facility by security staff.
- or
- c. Upon the Chief Controller’s instruction.

20. **Debrief**

- a. Allow some time for the controllers and security staff to gather their thoughts on the events, in preparation for the debrief.
- b. Assemble all participating security staff for debrief
- c. The Chief Controller should conduct the debrief
- d. Appoint a note-taker to record the salient points of the discussion and in particular the lessons learnt and any follow-up actions required. Guidance should be provided to the note-taker as to what is to be recorded.

21. **Reports**

- a. Report the conduct of the drill to the management, either with a written report or verbally, as required by the management. An example of a report is provided at Appendix 5.
- b. If a written report is submitted, arrange for a briefing on the drill to be given at a management meeting to inform top management of the proceedings.

22. **Records**

An ISPS Drills and Exercises Record Book should be maintained by the Port Facility. The following is an example of an entry in the ISPS Drill and Exercises Record Book:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
<i>15/10/XX</i>	<i>Drill</i>	<i>Emergency Response – Security measures compromised</i>	<i>D412 - Perimeter security compromised</i>	<i>PF/101/08-D412 dated xx/yy/zzzz</i>



D412 TIME-TABLE FOR PLANNING

DAYS TO DRILL	DATE	EVENT	CHECK
D -14	(calendar	Review the Guidelines	
D -14	dates to be	Confirm budget availability for items and/or services to be employed during the drill	
D -12	inserted)	Identify the drill control team	
D -10		Obtain management endorsement if it is required	
D -7		Refine or adjust the Master Events List if necessary	
D -5		Confirm the participants	
D -2		Brief the controllers and issue Letter of Identification, funds, etc.	
D day		Conduct the drill	
D day		Perform the debrief and record the lessons learnt	
D day		Record the conduct of the drill	
D +1		Prepare the written report on the drill	
D +2		Report the conduct of the drill to management	



CODE WORDS

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

CODE WORD	MEANING
Drill Start	The drill is to commence
Drill Suspend	The drill is temporarily suspended
Drill Go	The drill is to resume from where it was suspended
Drill Stop	The drill is to be terminated (prematurely)
Drill End	The drill is completed
For Exercise	The message or statement that follows this preamble relates to the drill only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the drill e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."



Port Facility

12 October XXXX

*The Security Officer
Port Facility*

LETTER OF IDENTIFICATION

This is to certify that *Mr. ABC* is a controller in a *Port Facility* maritime security drill being conducted on *17 October XXXX*. Please contact the undersigned and escort *Mr. ABC* to the Security Office.

signed
Mr. DEF
Port Facility Security Officer



D412 MASTER EVENTS LIST

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
<i>Date: 12 Oct XX</i>				
001	1600	Controller briefing		
<i>Date: 17 Oct XX</i>				
002	0900	Participant briefing*		Meeting point away from the Port Facility convenient to transportation for "intruders"
003	0930	Controllers final briefing		Staff canteen
004	1000	Controllers at respective positions		Meeting point away from the Port Facility convenient to transportation for "intruders"
005	1000	"Intruder" to embark transport to the Port Facility		Chief Controller at Security Office
006	1030	All security staff at respective positions		"Intruder" 1 at nearby bus stop ready to embark bus to Port Facility
007	1031	Drill commence		As appropriate
008	1105	The "intruder" is to enter Port Facility by a side entrance	Port Facility staff should be able to spot and intercept the "intruder"	South perimeter fence
009	1500	Drill End	Dispersal of personnel	
010	1530	Debrief	Controllers and security staff to report findings and lessons learnt	Staff recreation room
* Not required if the drill is to be conducted without prior notice to the participants				

**REPORT ON THE CONDUCT OF SECURITY DRILL D412**

Type of Drill	<i>Emergency Response – Security measures compromised</i>
Drill Conducted	<i>Perimeter security compromised</i>
General objective	<i>To raise the awareness of the risk from failures of security measures at the Port Facility</i>
Date and time	<i>15 October XXXX at 0900 hrs</i>
Duration	<i>5 hrs</i>
Controllers	<i>Mr GHJ, Manager, Safety and Security – Chief controller Mr YHU, Intruder</i>
Participants	<i>Security staff from Team 2 and Team 3 All participants were briefed on the conduct of this drill</i>
Significant events	<i>1. One “intruder” was tasked to penetrate into the Port Facility premises by covert means. 2. He found a breach in the perimeter fence (simulated by Side Gate C) and tried to enter. He was observed on the surveillance camera monitor and a security team was dispatched to intercept him. Include photographs if relevant</i>



Lessons learnt	<p><i>1. Security fences must be checked regularly for breaches.</i></p> <p><i>2. Perimeter patrols should observe and report breaches of security such as the hole in the fence for remedial action.</i></p> <p>Include photographs if relevant</p>
Follow-up action	<p><i>1. Security staff were briefed on the need to report any failure of security arrangements such as fences, surveillance cameras, etc.</i></p> <p><i>3. A circular will be sent to all employees to remind them of the need for security awareness.</i></p>
Performance indicators	<p><i>1. From Entry of “intruder” through perimeter fence to Detection of the intruder – x minutes</i></p> <p><i>2. From Detection of intruder to Deployment of response team – y minutes</i></p> <p><i>3. From Deployment of response team to Arrival at site of detection – z minutes</i></p>
Total cost	\$xxx



Drill	D413
Category	Emergency Response
Type	Security measures compromised
Subject	Activation of intrusion alarm
Security Level	1 and 2
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Vol I Part 1 – Guidelines for the Conduct of Maritime Security Drills 4. ISPS Code

INTRODUCTION

1. Surveillance equipment are an important defence against security threats to a Port Facility. They include cameras, motion sensors, thermal sensors, vibration sensors (for fences), magnetic sensors (for doors and windows), etc. In order to ensure their continued effectiveness, most operators will specify daily checks of their operational status in their security instructions or procedures. Security staff must be able to perform these checks and respond correctly to the activation of an alarm.

2. This drill will require security staff to respond to the activation of a perimeter surveillance system alarm by a controller acting as an intruder. Upon activation of the alarm, the security staff are expected to act in accordance with the Port Facility's security instructions.

AIM OF THE DRILL

3. **General Objective**

To test the procedures for the response to an intrusion alarm activation



4. **Specific Objectives**

- a. To validate the procedures for the management of an intrusion alarm.
- b. To test the response of security staff to the activation of an intrusion alarm.
- c. To raise the awareness of the threat of intrusion into the Port Facility.
- d. Meet or better the specified benchmark response times for this drill.

REQUIRED ATTAINMENTS

5. On completion of the drill, Port Facility security staff will be able to:
 - a. Identify the various surveillance sensors deployed in the Port Facility.
 - b. Perform checks to confirm the status of each surveillance system.
 - c. Apply the procedures in the Port Facility security instructions to respond to the activation of an intrusion alarm.

PLANNING FOR THE DRILL

6. **Timetable**

The date for the conduct of this drill should be scheduled in the Port Facility's annual work program. Preparations for this drill should commence 2 weeks prior to the date of conduct. An example of a time-table for the preparation and conduct of this drill is given in Appendix 1

7. **Personnel**

- a. Control Team
 - (1) The Chief Controller may be the Port Facility Security Officer (PFSO) or a manager in charge of security matters. Where the first line response by security staff involves the PFSO, a manager should be considered for the appointment of Chief Controller. This will free the PFSO to respond to the situation as it develops during the drill.



(2) The Chief Controller is to co-opt a member of the Port Facility security staff as a controller.

b. Participants

The participants will be the Port Facility security staff.

c. Safety Officer

The appointment of a safety officer for this drill should be considered.

8. **Resources**

a. Communications

(1) **Equipment**

(a) Mobile phone: It is recommended that mobile phones should be the preferred means of communications between the Chief Controller and the controllers, subject to the availability of a cell phone network at the location of the Port Facility.

(b) Walkie-talkie: When using walkie-talkies, note that they have a short range and short battery life. They are usually bulky and may not be easily concealed, and they may be subject to interference if left switched on, leading to discovery at awkward moments.

(2) **Codewords**

Code words are used to provide brevity and clarity in communications during the conduct of a drill. A list of suggested code words is given in Appendix 2. The code words must be promulgated to all controllers and participants of the drill.

(3) **Security**

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



b. Other requirements

- (1) Location for the debrief
- (2) Refreshments e.g. during the debrief
- (3) Person to take notes during the debrief
- (4) Stationery for note-taking

9. **Safety**

a. Security staff activity in connection with this drill would be monitored by the Safety Officer, if one is appointed. The Safety Officer should station himself at a location where he would be:

- (1) Able to observe the majority of events.
- (2) In close proximity where potentially hazardous activity is to take place.
- (3) Accessible should he be required in a contingency.

b. Controllers with roles as intruders or drivers, etc. should be issued with a letter of identification provided in Appendix 3 to forestall any undesirable action or behavior on the part of security staff toward them.

10. **Budget**

Funding may be needed for the following:

- a. Refreshments for the debrief.
- b. Reimbursement of expenses incurred by controllers or participants.

11. **Policy for disclosure**

a. The Chief Controller should decide if the drill is to be announced (i.e. participants such as security staff will be notified of the conduct of the drill) or the conduct of the drill will not be announced beforehand (i.e. the participants will not be informed of the conduct of the drill).

b. In deciding the mode, the following may be taken into consideration:

- (1) Security - Where it is assessed that confidentiality is uncertain or difficult to maintain, it is preferable to opt for an announced drill.
- (2) Organizational culture - Unannounced drills may be perceived as a test of the participants.



- (3) Ships at the Port Facility - Where it is anticipated that the drill may impact in any way on ships alongside, their crew, agents, suppliers or contractors, ships alongside should be notified in advance of the drill.

12. Management endorsement

The Chief Controller should seek approval from management for the conduct of the drill. Management should be informed of the drill prior to its conduct, even if formal approval is not required.

CONDUCTING THE DRILL

13. Master Events List

- a. The drill begins with the activation of a surveillance system alarm by a controller acting as a petty thief. The Chief Controller will determine which intrusion detection system alarms will be activated in the drill. Upon activation of the alarm, the security staff are expected to respond in accordance with the Port Facility's security instructions.
- b. The "injects" (simulated events) for the conduct of the drill are provided in the example of a Master Events List at Appendix 4. These would be introduced on schedule or on completion of the preceding event. Adjustments would be made to cater to the prevailing circumstances.

14. Controller briefing

- a. The briefing to controllers will be conducted by the Chief Controller and should include the following:
 - (1) Roles to be played by controllers.
 - (2) Positions of controllers at the commencement of the drill.
 - (3) Transport arrangements.
 - (4) Suggested responses to questioning by security staff.
 - (5) Safety measures.

- b. Scenario

A petty thief (controller) who entered the Port Facility via a breach in the perimeter fence has inadvertently activated the intrusion alarm after getting past the perimeter fence of the Port Facility.



c. Tasks

- (1) The Chief Controller, assisted by his co-opted controller, will select the surveillance equipment to be activated for this drill.
- (2) The Chief Controller, assisted by the PFSO, will conduct a verbal practical test of the security staff on duty on their knowledge of the surveillance systems and alarms installed at the Port Facility.
- (3) The security staff co-opted as controller will trigger the selected surveillance equipment as directed by the Chief Controller and note the time of activation.
- (4) Upon activating the surveillance equipment, the controller “intruder” will remain at the location to check the timing of the arrival of any security team investigating the cause of the alarm.
- (5) The Chief Controller will conduct a verbal test of the security staff on the actions they should take upon finding an intruder on site.
- (6) The Chief Controller will conduct the drill in accordance with the events listed in the Master Events List.

15. **Participant briefing**

- a. A briefing to participants should be scheduled if it is decided that the drill is to be announced (paragraph 11). The brief to participants should include the following:
 - (1) Review of the previous drill, including the lessons learnt
 - (2) Objectives and scenario of the drill to be conducted
 - (3) The Port Facility’s security instructions pertaining to the drill being conducted
 - (4) Update on the ISPS Code and/or local regulations
 - (5) Developments in maritime security (news, events, etc)
- b. It should not include information or details of the controllers’ plans for the drill.



16. Briefing Aids

Briefing slides and notes are provided in the accompanying PowerPoint files. With entries for the names, dates, locations, etc. these may be used to conduct the briefing to controllers and to participants.

17. Condition

The Port Facility is to proceed with its daily business as usual. No prior preparations on the part of the participants and/or security arrangements are required for the conduct of this drill.

18. Performance Measurement

- a. Performance indicators should be established for this drill. Some may be dependent on the specific circumstances of the Port Facility. Ideally, performance indicators should be objective, but subjective ones may also be observed by the controllers, e.g. the degree of compliance with Port Facility security instructions.
- b. The following objective performance indicators are the target benchmark response times to be achieved for this drill:

FROM	TO	DURATION (minutes)
Activation of motion sensor alarm	Mustering of response team	x
Mustering of response team	Deployment of response team	y
Deployment of response team	Arrival of response team at activation site	z

CONCLUDING THE DRILL

19. The drill shall be ended under the following circumstances:
- a. After security staffs have participated in a verbal test at the site of the activation. The time of arrival must be noted.
 - or
 - b. At a pre-determined time after the commencement of the drill.
 - or
 - c. Upon the Chief Controller's instruction.



20. Debrief

- a. Allow some time for the controllers and security staff to gather their thoughts on the events, in preparation for the debrief.
- b. Assemble all participating security staff for debrief
- c. The Chief Controller should conduct the debrief
- d. Appoint a note-taker to record the salient points of the discussion and in particular the lessons learnt and any follow-up actions required. Guidance should be provided to the note-taker as to what is to be recorded.

21. Reports

- a. Report the conduct of the drill to the management, either with a written report or verbally, as required by the management. An example of a report is provided at Appendix 5
- b. If a written report is submitted, arrange for a briefing on the drill to be given at a management meeting to inform top management of the proceedings.

22. Records

An ISPS Drills and Exercises Record Book should be maintained by the Port Facility. The following is an example of an entry in the ISPS Drill and Exercises Record Book:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
<i>15/10/XX</i>	<i>Drill</i>	<i>Emergency Response – Security measures compromised</i>	<i>D413 - Activation of intrusion alarm</i>	<i>PF/101/08-D413 dated xx/yy/zzzz</i>



D413 TIME-TABLE FOR PLANNING

DAYS TO DRILL	DATE	EVENT	CHECK
D -14	(calendar	Review the Guidelines	
D -14	dates to be	Confirm budget availability for items and/or services to be employed during the drill	
D -12	inserted)	Identify the drill control team	
D -10		Obtain management endorsement if it is required	
D -7		Refine or adjust the Master Events List if necessary	
D -5		Confirm the participants	
D -2		Brief the controller	
D day		Conduct the drill	
D day		Perform the debrief and record the lessons learnt	
D day		Record the conduct of the drill	
D +1		Prepare the written report on the drill	
D +2		Report the conduct of the drill to management	



CODE WORDS

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

CODE WORD	MEANING
Drill Start	The drill is to commence
Drill Suspend	The drill is temporarily suspended
Drill Go	The drill is to resume from where it was suspended
Drill Stop	The drill is to be terminated (prematurely)
Drill End	The drill is completed
For Exercise	The message or statement that follows this preamble relates to the drill only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the drill e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."



Port Facility

12 October XXXX

*The Security Officer
Port Facility*

LETTER OF IDENTIFICATION

This is to certify that *Mr. ABC* is a controller in a *Port Facility* maritime security drill being conducted on *17 October XXXX*. Please contact the undersigned and escort *Mr. ABC* to the Security Office.

signed
Mr. DEF
Port Facility Security Officer

**D413 MASTER EVENTS LIST**

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
<i>Date: 12 Oct XX</i>				
001	1600	Controller briefing		Chief Controller's office
<i>Date: 17 Oct XX</i>				
002	0900	Participant briefing*		Port Facility
003	0930	Controller final briefing		Chief Controller's office
004	1000	All security staff at respective positions		As appropriate
005	1000	Controllers at respective positions		Chief Controller at Security Office
006	1001	Drill commence		Port Facility
007	1005	Chief Controller and PFSO to conduct a verbal test on security staff on the surveillance systems	Security staff to answer questions and demonstrate competence on handling the system	Security office
008	1030	Controller to activate motion sensor No. # and remain in that location	Monitor alarm should sound and security staff to take action to investigate	Perimeter fence
009	1045	Chief Controller and PFSO to do a verbal test on security staff on their response to the "intruder"	Security staff to answer questions and demonstrate competence on handling an intruder correctly	
010	1115	Drill End	Dispersal of personnel	
011	1430	Debrief	Controllers and security staff to report findings and lessons learnt	Staff recreation room
* Not required if the drill is to be conducted without prior notice to the participants				



REPORT ON THE CONDUCT OF SECURITY DRILL D413

Type of Drill	<i>Emergency Response – Security measures compromised</i>
Drill Conducted	<i>Activation of intrusion alarm</i>
General objective	<i>To test the procedures for the response to an intrusion alarm</i>
Date and time	<i>15 October XXXX at 0900 hrs</i>
Duration	<i>5 hrs</i>
Controllers	<i>Mr GHJ, Manager, Safety and Security – Chief controller Mr YHU, Controller</i>
Participants	<i>Security staff from Team 2 and Team 3 All participants were briefed on the conduct of this drill</i>
Significant events	<i>1. Security staff on duty were given an unannounced verbal test on the operation of the surveillance systems. 2. Controller Mr YHU was tasked to activate the motion sensor No. # 3. Security staff reacted to the alarm by sending the perimeter patrol to investigate the cause of the alarm at the site of motion sensor No. #. Include photographs if relevant</i>



Lessons learnt	<p><i>1. Most security staff were well-versed with the operation of the surveillance systems, but system knowledge could be improved.</i></p> <p><i>2. Although this drill was not announced beforehand, security staffs on duty were alerted to the drill by the verbal test conducted by the Chief Controller. Thus reaction to the activation of the motion sensor No. # was acceptable, but can be improved.</i></p> <p><i>3. Security staffs were familiar with the actions they could/could not take on an intruder.</i></p> <p>Include photographs if relevant</p>
Follow-up action	<p><i>1. PFSO will arrange for coaching by the duty supervisor for security staff on surveillance system knowledge.</i></p> <p><i>2. PFSO to examine the consequences to the integrity of the perimeter patrol when the patrolmen are deployed to respond to an emergency such as the activation of an alarm.</i></p>
Performance indicators	<p><i>1. From Activation of motion sensor alarm to Mustering of response team – x minutes</i></p> <p><i>2. From Mustering of response team to Deployment of response team – y minutes</i></p> <p><i>3. From Deployment of response team to Arrival of response team at activation site – z minutes</i></p>
Total cost	\$xxx



Drill No.	D414
Category	Emergency Response
Type	Security measures compromised
Subject	Activation of Ship Security Alert System
Security Level	1 and 2
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Vol I Part 1 – Guidelines for the Conduct of Maritime Security Drills 4. ISPS Code

INTRODUCTION

1. Ships alongside the Port Facility also face security threats that may be seaborne, or even from landward. Ships may therefore wish to keep the Ship Security Alert System (SSAS) operating even when alongside. While Port Facilities may maintain surveillance over the seaward approaches to the Facility, the ability to prevent a seaborne incursion is often limited.

2. This drill will require the Port Facility security staff to respond to the simulated activation of the SSAS by a ship alongside. It shall be assumed that the Port Facility has been alerted to the “activation” of the ship’s SSAS by the ship management company, which had received radio alert of the activation. Upon receipt of the alert, the security staff are expected to act in accordance with the Port Facility’s security instructions.

AIM OF THE DRILL

3. **General Objective**

To test the Port Facility’s security staff response to the activation of the Ship Security Alert System (SSAS) on board a ship alongside.



4. **Specific Objectives**

- a. To test the response of security staff to the notification of an attack on board a ship alongside.
- b. To validate the procedures for the response to an intrusion or attack on board a ship alongside.
- c. To raise the awareness of the threat of intrusion into a ship alongside the Port Facility

REQUIRED ATTAINMENTS

5. On completion of the drill, Port Facility security staff will be able to:
 - a. Recognize the various means by which an activation of the SSAS from a ship alongside may be communicated to the Port Facility.
 - b. Apply the procedures in the Port Facility security instructions to respond to an intrusion or attack on board a ship alongside.
 - c. Recognize the threat from within port waters

PLANNING FOR THE DRILL

6. **Timetable**

The date for the conduct of this drill should be scheduled in the Port Facility's annual work program. The specific date would depend on the scheduled arrival of a ship at the Port Facility. Preparations for this drill should commence 2 weeks prior to the date of conduct. An example of a time-table for the preparation and conduct of this drill is given in Appendix 1

7. **Participation of the ship alongside**

The ship has a major role in this drill, and the ship's cooperation must be sought for the conduct. The ship must participate fully in the planning, and may wish to take the opportunity to conduct its own associated maritime security drill or exercise. The Chief Controller should hold a planning meeting with the SSO using these guidelines.



8. Personnel

a. Control Team

(1) The Chief Controller may be the Port Facility Security Officer (PFSO) or a manager in charge of security matters. Where the first line response by security staff involves the PFSO, a manager should be considered for the appointment of Chief Controller. This will free the PFSO to respond to the situation as it develops during the drill.

(2) The Ship Security Officer (SSO) should be appointed the Deputy Chief Controller.

(3) The ship should appoint a member of the crew to act as an intruder. He is also a designated controller.

b. Participants

The participants will be the Port Facility security staff.

c. Safety Officer

The appointment of a safety officer for this drill should be considered.

9. Resources

a. Communications

(1) **Equipment**

(a) Mobile phone: It is recommended that mobile phones should be the preferred means of communications between the Chief Controller and the controllers, subject to the availability of a cell phone network at the location of the Port Facility.

(b) Walkie-talkie: When using walkie-talkies, note that they have a short range and short battery life. They are usually bulky and may not be easily concealed, and they may be subject to interference if left switched on, leading to discovery at awkward moments.



(2) **Code words**

Code words are used to provide brevity and clarity in communications during the conduct of a drill. A list of suggested code words is given in Appendix 2. The code words must be promulgated to all controllers and participants of the drill.

(3) **Security**

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

b. Other requirements

- (1) Location for the debrief
- (2) Refreshments e.g. during the debrief
- (3) Person to take notes during the debrief
- (4) Stationery for note-taking

10. **Safety**

a. Security staff activity in connection with this drill would be monitored by the Safety Officer, if one is appointed. The Safety Officer should station himself at a location where he would be

- (1) Able to observe the majority of events
- (2) In close proximity where potentially hazardous activity is to take place
- (3) Accessible should he be required in a contingency

b. Controllers with roles as intruders or drivers, etc. should be issued with a letter of identification provided in Appendix 3 to forestall any undesirable action or behavior on the part of security staff toward them.

11. **Budget**

Funding may be needed for the following:

- a. Refreshments for the debrief.
- b. Reimbursement of expenses incurred by controllers or participants.



12. Policy for disclosure

a. The Chief Controller should decide if the drill is to be announced (i.e. participants such as security staff will be notified of the conduct of the drill) or the conduct of the drill will not be announced beforehand (i.e. the participants will not be informed of the conduct of the drill).

b. In deciding the mode, the following may be taken into consideration:

(1) Security - Where it is assessed that confidentiality is uncertain or difficult to maintain, it is preferable to opt for an announced drill.

(2) Organizational culture - Unannounced drills may be perceived as a test of the participants.

13. Management endorsement

The Chief Controller should seek approval from management for the conduct of the drill. Management should be informed of the drill prior to its conduct, even if formal approval is not required.

CONDUCTING THE DRILL

14. Master Events List

a. The drill begins with a notification to the Port Facility Security Officer that the SSAS of the ship alongside had been activated. This notification would be a simulated message from the shipping company stating that it had received the electronic alert from the ship's SSAS. The PFSO is then expected to muster his resources and take action in accordance with the Port Facility's security instructions.

b. The "injects" (simulated events) for the conduct of the drill are provided in the example of a Master Events List at Appendix 4. These would be introduced on schedule or on completion of the preceding event. Adjustments would be made by the Chief Controller to cater to the prevailing circumstances.

15. Controller briefing:

a. The briefing to controllers will be conducted by the Chief Controller and should include the following:

(1) Roles to be played by controllers.

(2) Positions of controllers at the commencement of the drill.



- (3) Transport arrangements.
- (4) Suggested responses to questioning by security staff.
- (5) Safety measures.

b. Scenario

A sea robber has brought his boat alongside the ship undetected, and boarded the ship. He succeeded in breaking into the officers' quarters when he was detected and the SSAS was activated. The SSAS activated the alarm in the ship management company's office, and they in turn informed the Port Facility by telephone.

c. Tasks

- (1) The Chief Controller will initiate the drill by informing the PFSO of the "activation" of the SSAS by a written note.
- (2) The ship's crew member will stand-by on board to act as the "intruder" and interact with Port Facility security staff.
- (3) The Chief Controller will conduct the drill in accordance with the events listed in the Master Events List.
- (4) The Chief Controller should position himself at a suitable location to discreetly observe the proceedings.

16. Participant briefing

a. A briefing to participants should be scheduled if it is decided that the drill is to be announced (paragraph 12). The brief to participants should include the following:

- (1) Review of the previous drill, including the lessons learnt
- (2) Objectives and scenario of the drill to be conducted
- (3) The Port Facility's security instructions pertaining to the drill being conducted
- (4) Update on the ISPS Code and/or local regulations
- (5) Developments in maritime security (news, events, etc)



- b. It should not include information or details of the controllers' plans for the drill.

17. Briefing Aids

Briefing slides and notes are provided in the accompanying PowerPoint files. With entries for the names, dates, locations, etc. these may be used to conduct the briefing to controllers and to participants.

18. Conditions

The Port Facility is to proceed with its daily business as usual. No prior preparations on the part of the participants and/or security arrangements are required for the conduct of this drill.

19. Performance Measurement

- a. Performance indicators should be established for this drill. Some may be dependent on the specific circumstances of the Port Facility. Ideally, performance indicators should be objective, but subjective ones may also be observed by the controllers, e.g. the degree of compliance with Port Facility security instructions.
- b. The following objective performance indicators are the target benchmark response times to be achieved for this drill:

FROM	TO	DURATION (mins)
Notification of SSAS activation	Notification sent to local authority e.g. Police, Port Authority	x
Notification of SSAS activation	Mustering of response team	y
Mustering of response team	Deployment of response team	z

CONCLUDING THE DRILL

- 20. The drill shall be ended under the following circumstances:
 - a. When the “intruder” is apprehended.or



- b. At a pre-determined time after the commencement of the drill.
- or
- c. Upon the Chief Controller's instruction.

21. Debrief

- a. Allow some time for the controllers and security staff to gather their thoughts on the events, in preparation for the debrief.
- b. Assemble all participating security staff for debrief
- c. The Chief Controller should conduct the debrief
- d. Appoint a note-taker to record the salient points of the discussion and in particular the lessons learnt and any follow-up actions required. Guidance should be provided to the note-taker as to what is to be recorded.

22. Reports

- a. Report the conduct of the drill to the management, either with a written report or verbally, as required by the management. An example of a report is provided at Appendix 5.
- b. If a written report is submitted, arrange for a briefing on the drill to be given at a management meeting to inform top management of the proceedings.

23. Records

An ISPS Drills and Exercises Record Book should be maintained by the Port Facility. The following is an example of an entry in the ISPS Drill and Exercises Record Book:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
<i>15/10/XX</i>	<i>Drill</i>	<i>Emergency Response – Security measures compromised</i>	<i>D414 - Activation of Ship Security Alert System</i>	<i>PF/101/08-D414 dated xx/yy/zzzz</i>



D414 TIME-TABLE FOR PLANNING

DAYS TO DRILL	DATE	EVENT	CHECK
D -14	(calendar	Review the Guidelines	
D -14	dates to be	Confirm budget availability for items and/or services to be employed during the drill	
D -12	inserted)	Identify the drill control team	
D -10		Obtain management endorsement if it is required	
D -7		Refine or adjust the Master Events List if necessary	
D -5		Confirm the participants	
D -1		Liaison and planning with the ship	
D -1		Brief the controller	
D day		Conduct the drill	
D day		Perform the debrief and record the lessons learnt	
D day		Record the conduct of the drill	
D +1		Prepare the written report on the drill	
D +2		Report the conduct of the drill to management	



CODE WORDS

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

CODE WORD	MEANING
Drill Start	The drill is to commence
Drill Suspend	The drill is temporarily suspended
Drill Go	The drill is to resume from where it was suspended
Drill Stop	The drill is to be terminated (prematurely)
Drill End	The drill is completed
For Exercise	The message or statement that follows this preamble relates to the drill only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the drill e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."



Port Facility

12 October XXXX

*The Security Officer
Port Facility*

LETTER OF IDENTIFICATION

This is to certify that *Mr. ABC* is a controller in a *Port Facility* maritime security drill being conducted on *17 October XXXX*. Please contact the undersigned and escort *Mr. ABC* to the Security Office.

signed
Mr. DEF
Port Facility Security Officer

**D414 MASTER EVENTS LIST**

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
<i>Date: 16 Oct XX</i>				
001	1600	<i>Controller briefing and planning meeting</i>		<i>On board MV TGB</i>
<i>Date: 17 Oct XX</i>				
002	0900	<i>Participant briefing*</i>		
003	0930	<i>Controller final briefing</i>		<i>On board MV TGB</i>
004	1000	<i>All security staff at respective positions</i>		<i>As appropriate</i>
005	1000	<i>Controllers at respective positions</i>		<i>Chief Controller at Security Office, Deputy Chief Controller on board, Controller (ship crew) on board</i>
006	1001	<i>Drill commence</i>		<i>Port Facility</i>
007	1030	<i>Chief Controller to inform Port Facility Security Officer of the activation of MV TGB's SSAS, with a written note.</i>	<i>PFSO to deploy Port Facility security staff and take action to investigate in accordance with security instructions</i>	<i>Security Office</i>
008	1045	<i>"Intruder" on board to behave suspiciously when Port Facility security staff embark the ship</i>	<i>Port Facility security staff to apprehend "intruder"</i>	<i>On board MV TGB</i>
009	1115	<i>Drill End</i>	<i>Dispersal of personnel</i>	
010	1430	<i>Debrief</i>	<i>Controllers and security staff to report findings and lessons learnt</i>	<i>Staff room</i>
* Not required if the drill is to be conducted without prior notice to the participants				

**REPORT ON THE CONDUCT OF SECURITY DRILL D414**

Type of Drill	<i>Emergency Response – Security measures compromised</i>
Drill Conducted	<i>Activation of Ship Security Alert System</i>
General objective	<i>To test the Port Facility’s security staff response to the activation of the Ship Security Alert System (SSAS) on board a ship alongside.</i>
Date and time	<i>15 October XXXX at 0900 hrs.</i>
Duration	<i>5 hrs</i>
Controllers	<i>Mr GHJ, Manager, Safety and Security – Chief controller Mr YHU, SSO - Deputy Chief Controller Mr GHT, MV TGB crew - Controller</i>
Participants	<i>Security staff from Team 2 and Team 3 All participants were briefed on the conduct of this drill</i>
Significant events	<i>1. The PFSO was notified that our Port Facility had received an urgent call from MV TGB ship management company that the ship’s (SSAS) had been activated. 2. PFSO activated security patrol, which then boarded MV TGB and apprehended the “intruder” to be handed over to local Police. Procedures for the handling of suspects were followed strictly. 3. PFSO simulated the contacting of local authority and notifying them of the activation of the SSAS. Include photographs if relevant</i>



Lessons learnt	<p><i>1. The SSAS has no external indication of activation. Possible avenues for notification that the ship was under attack were discussed during the planning. Two methods of alerting the Port facility were noted:</i></p> <p><i>a. The ship may raise the alarm by whatever means available e.g. ship's horn, siren, radio communications, telephone, etc.</i></p> <p><i>b. Activate SSAS so that silent alert would not alarm intruders into drastic action, and appropriate response from Port Facility security staffs would be possible.</i></p> <p><i>2. The Port Facility security staff were instrumental in apprehending the "intruder" as most of the ship crew had been granted shore leave.</i></p> <p>Include photographs if relevant</p>
Follow-up action	<p><i>1. Send letter of thanks to MV TGB for participating in the Port Facility drill.</i></p> <p><i>2. PFSO to confirm and update the contact details of the local authority for notification of SSAS activation and handing over of suspects.</i></p>
Performance indicators	<p><i>1. From Notification of SSAS activation to Notification sent to the Police (simulated) – x minutes</i></p> <p><i>2. From Notification of SSAS activation to Mustering of response team – y minutes</i></p> <p><i>3. Mustering of response team to Deployment of response team – z minutes</i></p>
Total cost	\$xxx



Drill No.	D421
Category	Emergency Response
Type	Contingencies
Subject	Power failure
Security Level	1 to 3
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Vol I Part 1 – Guidelines for the Conduct of Maritime Security Drills 4. ISPS Code

INTRODUCTION

1. The continuity of power supply is an important factor in security arrangements for any Port Facility. Where municipal supplies can be unreliable at times, most Port Facilities will have back-up power arrangements for their essential services. It is important that security arrangements are included as essential services to be supplied by back-up power. Nevertheless, various limitations may prohibit the full supply of power for security services, and Port Facilities thus restricted must include alternative security measures in the event of a power failure in their Port Facility Security Plan, for those services that will be affected.

2. This drill will require Port Facility security staff to respond to a power failure from the security perspective, instituting additional security measures, etc. as dictated by the Port Facility Security Plan.

AIM OF THE DRILL

3. **General Objective**

To practice the Port Facility's alternative security arrangement(s) for security services that will be disrupted in the event of a power failure.



4. **Specific Objectives**

- a. To validate the procedures for security responses to a power failure
- b. To practise security staff in responding to a power failure
- c. To raise the awareness of the heightened risk from maritime security threats during a power failure
- d. Meet or better the specified benchmark response times for this drill.

REQUIRED ATTAINMENTS

5. On completion of the drill, Port Facility security staff will be able to:
 - a. Perform all additional security measures in response to the power failure
 - b. Provide feedback on all aspects of the procedures to ensure security at the Port Facility during a power failure
 - c. Recognize the additional risks from maritime security threats during a power failure

PLANNING FOR THE DRILL

6. **Timetable**

The date for the conduct of this drill should be scheduled in the Port Facility's annual work program. Preparations for this drill should commence 2 weeks prior to the date of conduct. An example of a time-table for the preparation and conduct of this drill is given in Appendix 1

7. **Personnel**

- a. Control Team

- (1) **Chief Controller:** The Chief Controller may be the Port Facility Security Officer (PFSO) or a manager in charge of security matters. Where the first line response by security staff involves the PFSO, a manager should be considered for the appointment of Chief Controller. This will free the PFSO to respond to the situation as it develops during the drill.



(2) Chief Electrical Engineer at the Port Facility: To be appointed a controller to manage the switching of the power supply.

b. Participants

The participants will be the Port Facility security staff.

c. Safety Officer

The appointment of a safety officer for this drill should be considered.

8. **Resources**

a. Power Failure

It is not expected that a drill to practice responses to a power failure may be conducted Facility-wide, unless operating conditions permit. The Chief Controller will make arrangements with the chief electrical engineer in the Port Facility for power failure to occur at selected zones in the Port Facility to facilitate the conduct of this drill. Should the Port Facility have the resources to provide emergency power for all security services in addition to port facility operations, consideration should be given to simulating a breakdown of parts of the emergency power arrangements as well as the municipal power.

b. Communications

(1) **Equipment** – Normal security staff communications means will be used.

(2) **Code words**

Code words are used to provide brevity and clarity in communications during the conduct of a drill. A list of suggested code words is given in Appendix 2. The code words must be promulgated to all controllers and participants of the drill.

(3) **Security**

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



- c. Other requirements
 - (1) Location for the debrief
 - (2) Refreshments e.g. during the debrief
 - (3) Person to take notes during the debrief
 - (4) Stationery for note-taking

9. **Safety**

Security staff activity in connection with this drill would be monitored by the Safety Officer, if one is appointed. The Safety Officer should station himself at a location where he would be

- a. Able to observe the majority of events.
- b. In close proximity where potentially hazardous activity is to take place.
- c. Accessible should he be required in a contingency.

10. **Budget**

Funding may be needed for the following:

- a. Refreshments for the debrief.
- b. Reimbursement of expenses incurred by controllers or participants.

11. **Policy for disclosure**

- a. The Chief Controller should decide if the drill is to be announced (i.e. participants such as security staff will be notified of the conduct of the drill) or the conduct of the drill will not be announced beforehand (i.e. the participants will not be informed of the conduct of the drill).
- b. In deciding the mode, the following may be taken into consideration:
 - (1) Security - Where it is assessed that confidentiality is uncertain or difficult to maintain, it is preferable to opt for an announced drill.
 - (2) Organizational culture - Unannounced drills may be perceived as a test of the participants.



- (3) Ships at the Port Facility - Where it is anticipated that the drill may impact in any way on ships alongside, their crew, agents, suppliers or contractors, ships alongside should be notified in advance of the drill.

12. Management endorsement

The Chief Controller should seek approval from management for the conduct of the drill. Management should be informed of the drill prior to its conduct, even if formal approval is not required.

CONDUCTING THE DRILL

13. Master Events List

- a. The drill will commence with the Chief Controller instructing the chief electrical engineer to initiate the pre-arranged power failure. When alerted, Port Facility security staffs are expected to respond to the power failure in accordance with the Port Facility Security Plan.
- b. The “injects” (simulated events) for the conduct of the drill are provided in the example of a Master Events List at Appendix 3. These would be introduced on schedule or on completion of the preceding event. Adjustments would be made to cater to the prevailing circumstances.

14. Controller briefing

- a. The briefing to controllers will be conducted by the Chief Controller and should include the following:
 - (1) Roles to be played by controllers.
 - (2) Positions of controllers at the commencement of the drill.
 - (3) Transport arrangements.
 - (4) Suggested responses to questioning by security staff.
 - (5) Safety measures.

- b. Scenario

Municipal power supply fails and the Port Facility is to switch to emergency back-up power supply.



c. Tasks

- (1) The Chief Controller will initiate the “power failure” and conduct the drill in accordance with the events listed in the Master Events List.
- (2) The Chief Controller should position himself at a suitable location to discreetly observe the proceedings.

15. **Participant briefing**

a. A briefing to participants should be scheduled if it is decided that the drill is to be announced (paragraph 11). The brief to participants should include the following:

- (1) Review of the previous drill, including the lessons learnt
- (2) Objectives and scenario of the drill to be conducted
- (3) The Port Facility’s security instructions pertaining to the drill being conducted
- (4) Update on the ISPS Code and/or local regulations
- (5) Developments in maritime security (news, events, etc)

b. It should not include information or details of the controllers’ plans for the drill.

16. **Briefing Aids**

Briefing slides and notes are provided in the accompanying PowerPoint files. With entries for the names, dates, locations, etc. these may be used to conduct the briefing to controllers and to participants.

17. **Condition**

a. The drill should be conducted at night. The Port Facility should also be at a low or non-operational period. Where a Port Facility operates round-the-clock, the drill may be confined to a selected zone where power could be isolated and switched off, and emergency power activated.

b. Otherwise, the Port Facility is to proceed with its business as usual. No prior preparations on the part of the participants and/or security arrangements are required for the conduct of this drill.



18. Performance Measurement

- a. Performance indicators should be established for this drill. Some may be dependent on the specific circumstances of the Port Facility. Ideally, performance indicators should be objective, but subjective ones may also be observed by the controllers, e.g. the degree of compliance with Port Facility security instructions.
- b. The following objective performance indicators are the target benchmark response times to be achieved for this drill:

FROM	TO	DURATION (mins)
Initiation of power failure	Mustering of response team	y
Mustering of response team	Deployment of additional security detail	z

CONCLUDING THE DRILL

19. The drill shall be ended under the following circumstances:
 - a. When security staff have completed deployment in accordance with the Port Facility security instructions on security measures during a power failure.
 - or
 - b. At a pre-determined time after the commencement of the drill.
 - or
 - c. Upon the Chief Controller's instruction.
20. **Debrief**
 - a. Allow some time for the controllers and security staff to gather their thoughts on the events, in preparation for the debrief.
 - b. Assemble all participating security staff for the debrief
 - c. The Chief Controller should conduct the debrief
 - d. Appoint a note-taker to record the salient points of the discussion and in particular the lessons learnt and any follow-up actions required. Guidance should be provided to the note-taker as to what is to be recorded.



21. Reports

- a. Report the conduct of the drill to the management, either with a written report or verbally, as required by the management. An example of a report is provided at Appendix 4.
- b. If a written report is submitted, arrange for a briefing on the drill to be given at a management meeting to inform top management of the proceedings.

22. Records

An ISPS Drills and Exercises Record Book should be maintained by the Port Facility. The following is an example of an entry in the ISPS Drill and Exercises Record Book:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
<i>15/10/XX</i>	<i>Drill</i>	<i>Emergency Response – Contingencies</i>	<i>D421 – Power failure</i>	<i>PF/101/08-D421 dated xx/yy/zzzz</i>



D421 TIME-TABLE FOR PLANNING

DAYS TO DRILL	DATE	EVENT	CHECK
D -14	(calendar	Review the Guidelines	
D -14	dates to be	Confirm budget availability for items and/or services to be employed during the drill	
D -12	inserted)	Identify the drill control team	
D -10		Obtain management endorsement if it is required	
D -7		Refine or adjust the Master Events List if necessary	
D -5		Confirm the participants	
D -1		Brief the controller	
D day		Conduct the drill	
D day		Perform the debrief and record the lessons learnt	
D day		Record the conduct of the drill	
D +1		Prepare the written report on the drill	
D +2		Report the conduct of the drill to management	



CODE WORDS

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

CODE WORD	MEANING
Drill Start	The drill is to commence
Drill Suspend	The drill is temporarily suspended
Drill Go	The drill is to resume from where it was suspended
Drill Stop	The drill is to be terminated (prematurely)
Drill End	The drill is completed
For Exercise	The message or statement that follows this preamble relates to the drill only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the drill e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."

**D421 MASTER EVENTS LIST**

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
<i>Date: 15 Oct XX</i>				
001	1600	<i>Controller briefing</i>		<i>Port Facility Security Office</i>
<i>Date: 17 Oct XX</i>				
002	1930	<i>Participant briefing*</i>		<i>Port Facility</i>
003	2000	<i>Controller final briefing</i>		<i>Port Facility Security Office</i>
004	2015	<i>All security staff at respective positions</i>		<i>As appropriate</i>
005	2015	<i>Controllers at respective positions</i>		<i>Chief Controller at Security Office, Controller at power switchboard</i>
006	2030	<i>Drill commence</i>		<i>Port Facility</i>
007	2032	<i>Chief Electrical Engineer to initiate power failure</i>	<i>Port Facility security staff to take emergency security measures</i>	<i>Port Facility</i>
008	2100	<i>Drill End</i>	<i>Dispersal of personnel</i>	
009	2101	<i>Chief Electrical Engineer to restore power</i>		
010	1430	<i>Debrief</i>	<i>Controllers and security staff to report findings and lessons learnt</i>	<i>Staff recreation room</i>
* Not required if the drill is to be conducted without prior notice to the participants				

**REPORT ON THE CONDUCT OF SECURITY DRILL D421**

Type of Drill	<i>Emergency Response – Contingencies</i>
Drill Conducted	<i>Power failure</i>
General objective	<i>To practice the Port Facility’s alternative security arrangement(s) for security services that will be disrupted in the event of a power failure</i>
Date and time	<i>15 October XXXX at 2000 hrs</i>
Duration	<i>2 hrs</i>
Controllers	<i>Mr GHJ, Manager, Safety and Security – Chief controller Mr YHU, Chief Electrical Engineer - Controller</i>
Participants	<i>Security staff from Team 2 and Team 3 All participants were briefed on the conduct of this drill</i>
Significant events	<i>1. The drill area was confined to Zone 3. Power supply failure was initiated at Zone 3 at 2010 hrs by the Chief Electrical Engineer. Emergency power supply to Zone 3 was activated at 2013 hrs. Security staff initiated doubled-up patrols in Zone 3 from 2030 hrs, in accordance with security instructions. 2. The drill was terminated at 2045 hrs when all emergency security measures were deemed to be in place. Include photographs if relevant</i>



Lessons learnt	<p><i>1. Emergency power to the security lighting at Zone 3 from the emergency power supply generator was validated.</i></p> <p><i>2. The tripping of the power supply to the five motion sensors in Zone 3 caused the monitoring system to trip and the entire system was unserviceable for 3 minutes while it was re-initiated. In previous drills and tests, only one sensor was interrupted for the drill, and the alarm functioned normally.</i></p> <p>Include photographs if relevant</p>
Follow-up action	<p><i>The supplier of the motion sensor system will be consulted on the deficiencies of the system.</i></p>
Performance indicators	<p><i>1. From Initiation of power failure to Mustering of response team – x minutes</i></p> <p><i>2. From Mustering of response team to Deployment of additional security detail – y minutes</i></p>
Total cost	<p><i>\$xxx</i></p>



Drill No.	D422
Category	Emergency Response
Type	Contingencies
Subject	Bomb threat
Security Level	1 to 3
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Vol I Part 1 – Guidelines for the Conduct of Maritime Security Drills 4. ISPS Code

INTRODUCTION

1. The threat of a bomb on the premises is one of the greatest security concerns of any organization. Port Facilities may be vulnerable to such threats because they often experience a considerable amount of traffic throughput as a routine aspect of their operation. A bomb threat communicated to any Port Facility must be handled competently with utmost urgency and it is therefore important to practice the procedures relating to a bomb threat regularly to ensure personnel are familiar with the processes. With the emphasis placed by terrorists on human targets for maximum media exposure, Port Facilities handling passengers must be especially well-prepared.

2. A simulated terrorist improvised explosive device will be planted in the Port Facility by controllers. This drill will require Port Facility staff to respond to a telephoned bomb threat, instituting additional security measures, etc. as dictated by the Port Facility Security Plan.

AIM OF THE DRILL

3. **General Objective**

To practice the Port Facility's response to a bomb threat.



4. **Specific Objectives**

- a. To validate the procedures for security responses to a bomb threat.
- b. To practise security staff in responding to a bomb threat.
- c. To raise the awareness of Port Facility staff to a bomb threat.
- d. Meet or better the specified benchmark response times for this drill.

REQUIRED ATTAINMENTS

5. On completion of the drill, Port Facility security staff will be able to:
 - a. Perform the specified procedures in response to a bomb threat.
 - b. Provide feedback to refine, update and improve the procedures.
 - c. Recognize the gravity of a bomb threat to the Port Facility.

PLANNING FOR THE DRILL

6. **Timetable**

- a. The date for the conduct of this drill should be scheduled in the Port Facility's annual work program. Preparations for this drill should commence 2 weeks prior to the date of conduct. An example of a time-table for the preparation and conduct of this drill is given in [Appendix 1](#).
- b. This drill has the potential to paralyze normal Port Facility operations. Thus careful selection of the date with this in mind, or an arrangement for a fraction of the staff to participate [see paragraph [7b\(2\)](#)] will be required.

7. **Personnel**

- a. Control Team

(1) Chief Controller: The Chief Controller may be the Port Facility Security Officer (PFSO) or a manager in charge of security matters. Where the first line response by security staff involves the PFSO, a manager should be considered for the appointment of Chief Controller. This will free the PFSO to respond to the situation as it develops during the drill.



(2) **Controllers:** The Chief Controller should arrange for a representative each from departments that may be more significantly affected by a bomb threat, to be controllers. However, these representatives should not be the persons primarily responsible for implementing security measures against the bomb threat.

b. Participants

(1) It is essential that all Port Facility staff be familiar with the procedures associated with a bomb threat, thus all Port Facility staff should participate.

(2) Where Port Facility operations cannot be disrupted by the conduct of such an all-encompassing drill, arrangements should be made to conduct the drill for a part of the staff each time.

c. Safety Officer

The appointment of a safety officer for this drill should be considered.

8. **Resources**

a. Simulated bomb

The Chief Controller will arrange for a simulated bomb to be prepared for the drill. This may comprise a parcel or box of about 2 – 3 kg weight, gift-wrapped as a disguise, and carried in a shopping bag. The bag should be placed in a high human traffic area and should not be too well hidden.

a. Communications

(1) **Local Authority** – The communications link and points of contact for reporting of a bomb threat should be checked, and advised of the impending conduct of the drill. Assurances of an adequate response by local authority in the event of an actual bomb threat should also be verified.

(2) **Equipment** – Normal Port Facility staff communications means will be used.

(3) **Code words**

Code words are used to provide brevity and clarity in communications during the conduct of a drill. A list of suggested code words is given in [Appendix 2](#).



The code words must be promulgated to all controllers and participants of the drill.

(4) **Security**

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

b. Other requirements

- (1) Location for the debrief.
- (2) Refreshments e.g. during the debrief.
- (3) Person to take notes during the debrief.
- (4) Stationery for note-taking.

9. **Safety**

Staff activity in connection with this drill would be monitored by the Safety Officer, if one is appointed. The Safety Officer should station himself at a location where he would be:

- a. Able to observe the majority of events
- b. In close proximity where potentially hazardous activity is to take place
- c. Accessible should he be required in a contingency

10. **Budget**

Funding may be needed for the following:

- a. Providing the simulated bomb.
- b. Refreshments for the debrief.
- c. Reimbursement of expenses incurred by controllers or participants.



11. Policy for disclosure

- a. The Chief Controller should decide if the drill is to be announced (i.e. participants such as security staff will be notified of the conduct of the drill) or the conduct of the drill will not be announced beforehand (i.e. the participants will not be informed of the conduct of the drill).
- b. In deciding the mode, the following may be taken into consideration:
 - (1) Security - Where it is assessed that confidentiality is uncertain or difficult to maintain, it is preferable to opt for an announced drill.
 - (2) Organizational culture - Unannounced drills may be perceived as a test of the participants.
 - (3) Ships at the Port Facility - Where it is anticipated that the drill may impact in any way on ships alongside, their crew, agents, suppliers or contractors, ships alongside should be notified in advance.

12. Management endorsement

The Chief Controller should seek approval from management for the conduct of the drill. Management should be informed of the drill prior to its conduct, even if formal approval is not required.

CONDUCTING THE DRILL

13. Master Events List

- a. The simulated bomb will be planted surreptitiously by a controller, in a high human traffic area. The manner in which the “bomb” arrived within the Port Facility is not pertinent to this drill and need not be discussed. The drill will begin with a bomb threat telephoned to the Port Facility Security Officer by a controller. The Port Facility staff will be required to respond to the bomb threat, instituting additional security measures, etc. as dictated by the Port Facility Security Plan.
- b. The “injects” (simulated events) for the conduct of the drill are provided in the example of a Master Events List at [Appendix 3](#). These would be introduced on schedule or on completion of the preceding event. Adjustments would be made to cater to the prevailing circumstances.



14. **Controller briefing**

a. The briefing to controllers will be conducted by the Chief Controller and should include the following:

- (1) Roles to be played by controllers.
- (2) Positions of controllers at the commencement of the drill.
- (3) Transport arrangements.
- (4) Suggested responses to questioning by security staff.
- (5) Safety measures.

b. Scenario

A bomb threat has been received by the PFSO via a telephone call. The caller stated that a bomb in a shopping bag has been placed in the Port Facility where it would kill “many people”, but the caller did not state exactly where or when it would detonate.

c. Tasks

- (1) The Chief Controller will place the shopping bag in a suitable location and initiate the “bomb threat” with a written note to the PFSO simulating the phone call.
- (2) The Chief Controller will conduct the drill in accordance with the events listed in the Master Events List.
- (3) The Chief Controller and controllers should position themselves at suitable locations to discreetly observe the proceedings.

15. **Participant briefing**

a. A briefing to participants should be scheduled if it is decided that the drill is to be announced (**paragraph 11**). The brief to participants should include the following:

- (1) Review of the previous drill, including the lessons learnt
- (2) Objectives and scenario of the drill to be conducted
- (3) The Port Facility’s security instructions pertaining to the drill being conducted



(4) Update on the ISPS Code and/or local regulations

(5) Developments in maritime security (news, events, etc)

b. It should not include information or details of the controllers' plans for the drill.

16. Briefing Aids

Briefing slides and notes are provided in the accompanying PowerPoint files. With entries for the names, dates, locations, etc. these may be used to conduct the briefing to controllers and to participants.

17. Condition

The Port Facility is to proceed with its daily business as usual. No prior preparations on the part of the participants and/or security arrangements are required for the conduct of this drill.

18. Performance Measurement

a. Performance indicators should be established for this drill. Some may be dependent on the specific circumstances of the Port Facility. Ideally, performance indicators should be objective, but subjective ones may also be observed by the controllers, e.g. the degree of compliance with Port Facility security instructions.

b. The following objective performance indicators are the target benchmark response times to be achieved for this drill:

FROM	TO	DURATION (minutes)
Planting of the simulated bomb	Detection of the simulated bomb	w
Detection of the simulated bomb	Notification sent to local authority e.g. Police (simulated)	x
	Deployment of response team	y
	Alert broadcast to port facility personnel (simulated)	z



CONCLUDING THE DRILL

19. The drill shall be ended under the following circumstances:
- a. When Port Facility staff have completed deployments and actions in accordance with the Port Facility security instructions on bomb threats.
and
 - b. When the simulated bomb has been found.
or
 - c. Upon the Chief Controller's instruction.
20. **Debrief**
- a. Allow some time for the controllers and security staff to gather their thoughts on the events, in preparation for the debrief.
 - b. Assemble all participating security staff for the debrief
 - c. The Chief Controller should conduct the debrief
 - d. Appoint a note-taker to record the salient points of the discussion and in particular the lessons learnt and any follow-up actions required. Guidance should be provided to the note-taker as to what is to be recorded.
21. **Reports**
- a. Report the conduct of the drill to the management, either with a written report or verbally, as required by the management. An example of a report is provided at [Appendix 4](#).
 - b. If a written report is submitted, arrange for a briefing on the drill to be given at a management meeting to inform top management of the proceedings.



22. **Records**

a. An ISPS Drills and Exercises Record Book should be maintained by the Port Facility. The following is an example of an entry in the ISPS Drill and Exercises Record Book:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
<i>15/10/XX</i>	<i>Drill</i>	<i>Emergency Response – Contingencies</i>	<i>D422 – Bomb threat</i>	<i>PF/101/08-D422 dated xx/yy/yyyy</i>

b. A record of participants should also be kept to ensure all staff eventually participate in a D422 [see paragraph 7b(2)].



D422 TIME-TABLE FOR PLANNING

DAYS TO DRILL	DATE	EVENT	CHECK
D -14	(calendar	Review the Guidelines	
D -14	dates to be	Confirm budget availability for items and/or services to be employed during the drill	
D -12	inserted)	Identify the drill control team	
D -10		Obtain management endorsement if it is required	
D -7		Refine or adjust the Master Events List if necessary	
D -5		Confirm the participants	
D -1		Brief the controller	
D day		Conduct the drill	
D day		Perform the debrief and record the lessons learnt	
D day		Record the conduct of the drill	
D +1		Prepare the written report on the drill	
D +2		Report the conduct of the drill to management	



CODE WORDS

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

CODE WORD	MEANING
Drill Start	The drill is to commence
Drill Suspend	The drill is temporarily suspended
Drill Go	The drill is to resume from where it was suspended
Drill Stop	The drill is to be terminated (prematurely)
Drill End	The drill is completed
For Exercise	The message or statement that follows this preamble relates to the drill only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the drill e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."

**D422 MASTER EVENTS LIST**

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
<i>Date: 15 Oct XX</i>				
001	1000	<i>Chief Controller to announce the conduct of the drill on 17 Oct</i>	<i>Port Facility staff to revise the procedures in preparation</i>	<i>Port Facility</i>
<i>Date: 16 Oct XX</i>				
002	-	<i>Prepare the simulated bomb</i>		<i>Port Facility Security Office</i>
<i>Date: 17 Oct XX</i>				
003	0900	<i>Controller briefing</i>		<i>Port Facility Security Office</i>
004	0930	<i>Participant briefing*</i>		<i>Port Facility</i>
005	1000	<i>All security staff at respective positions</i>		<i>As appropriate</i>
006	1015	<i>Controllers at respective positions</i>		<i>Chief Controller at Security Office</i>
007	1020	<i>Drill commence</i>		<i>Port Facility</i>
008	1030	<i>Chief Controller to telephone the PFSO and initiate the bomb threat</i>	<i>Port Facility security staff to apply the procedures for a bomb threat</i>	<i>Port Facility</i>
009	1200	<i>Drill End</i>	<i>Dispersal of personnel</i>	
010	1430	<i>Debrief</i>	<i>Controllers and selected staff to report findings and lessons learnt</i>	<i>Staff recreation room</i>

* Not required if the drill is to be conducted without prior notice to the participants



REPORT ON THE CONDUCT OF SECURITY DRILL D422

Type of Drill	<i>Emergency Response – Contingencies</i>
Drill Conducted	<i>Bomb threat</i>
General objective	<i>To practice the Port Facility’s response to a bomb threat</i>
Date and time	<i>15 October XXXX at 0900 hrs</i>
Duration	<i>2 hrs</i>
Controllers	<i>Mr GHJ, Manager, Safety and Security – Chief controller Mr YHU, Deputy Stevedoring Manager - Controller Mr MJK, Shift captain - Controller</i>
Participants	<i>Port facility staff from the first shift, and off-duty managers All participants were briefed on the conduct of this drill</i>
Significant events	<i>1. The drill was initiated by the Chief Controller at 0930 hrs with a telephone call to the PFSO simulating the “bomb threat”. 2. The drill was terminated at 1045 hrs when all measures had been taken to deal with the bomb threat. 3. Call to local Police was simulated.</i> <i>Include photographs if relevant</i>



Lessons learnt	<p><i>1. Communications check with local Police for bomb threat reporting confirmed the communications links and points of contact.</i></p> <p><i>2. Port Facility staffs were generally not fluent in the procedures, and had to refer continually to the Port Facility security instructions for guidance on the procedures to be adopted.</i></p> <p>Include photographs if relevant</p>
Follow-up action	<p><i>Port Facility staff will need to be reminded at regular intervals of the procedures for a bomb threat. This will be done through publication of different sections of the procedures in the Port Facility daily instructions on a regular basis.</i></p>
Performance indicators	<p><i>1. From Planting of the simulated bomb to Detection of the simulated bomb – w minutes</i></p> <p><i>2. Detection of the simulated bomb to Notification sent to local authority e.g. Police (simulated) – x minutes</i></p> <p><i>3. Detection of the simulated bomb to Deployment of response team – y minutes</i></p> <p><i>4. Detection of the simulated bomb to Alert broadcast to port facility personnel (simulated) – z minutes</i></p>
Total cost	\$xxx



Drill No.	D423
Category	Emergency Response
Type	Contingencies
Subject	Evacuation
Security Level	1 to 3
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Vol I Part 1 – Guidelines for the Conduct of Maritime Security Drills 4. ISPS Code

INTRODUCTION

1. A wide range of events may trigger the need to evacuate a Port Facility. They may be localized, such as the threat of a bomb on the premises, or they may be regional, such as a natural phenomenon, in which case local authorities may dictate the evacuation. In any case, Port Facilities have a vested interest in ensuring the orderly evacuation of their premises, particularly with regards to the safety and security of the installations and other items being left behind.

2. This drill will require Port Facility staff to evacuate the premises upon the threat of a major natural disaster. Evacuation plans will be applied to ensure personnel safety, and from a security perspective, to secure the key areas of the port facility against pilferage and looting in the absence of all personnel.

AIM OF THE DRILL

3. **General Objective**

To test the Port Facility's evacuation plan.



4. **Specific Objectives**

- a. To validate the procedures for evacuation of the Port Facility.
- b. To practice Port Facility staff in the evacuation process.
- c. To practise security staff in securing the Port Facility for evacuation.
- d. Meet or better the specified benchmark response times for this drill.

REQUIRED ATTAINMENTS

5. On completion of the drill, Port Facility staff will be able to:
 - a. Perform the specified procedures to prepare the Port Facility for evacuation.
 - b. Conduct the evacuation of the premises.
 - c. Provide feedback to refine, update and improve the procedures.

PLANNING FOR THE DRILL

6. **Timetable**

- a. The date for the conduct of this drill should be scheduled in the Port Facility's annual work program. Preparations for this drill should commence 2 weeks prior to the date of conduct. An example of a time-table for the preparation and conduct of this drill is given in Appendix 1.
- b. This drill has the potential to paralyze normal Port Facility operations. Thus careful selection of the date with this in mind, or an arrangement for a fraction of the staff to participate [see paragraph 7b(2)] will be required.

7. **Personnel**

- a. Control Team

(1) Chief Controller: The Chief Controller may be the Port Facility Security Officer (PFSO) or a manager in charge of security matters. Where the first line response by security staff involves the PFSO, a manager should be considered for the appointment of Chief Controller. This will free the PFSO to respond to the situation as it develops during the drill.



(2) **Controllers:** The Chief Controller should arrange for a representative each from departments that may be more significantly affected by the evacuation, to be controllers.

b. Participants

(1) It is important that all Port Facility staff be familiar with the procedures for evacuation, thus all Port Facility staff should participate.

(2) Where Port Facility operations cannot be disrupted by the conduct of such an all-encompassing drill, arrangements should be made to conduct the drill for a part of the staff each time.

c. Safety Officer

The appointment of a safety officer for this drill should be considered.

8. **Resources**

a. Communications

(1) **Equipment** – Normal Port Facility staff communications means will be used.

(2) **Code words**

Code words are used to provide brevity and clarity in communications during the conduct of a drill. A list of suggested code words is given in Appendix 2. The code words must be promulgated to all controllers and participants of the drill.

(3) **Security**

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

b. Other requirements

- (1) Location for the debrief
- (2) Refreshments e.g. during the debrief
- (3) Person to take notes during the debrief
- (4) Stationery for note-taking



9. **Safety**

Staff activity in connection with this drill would be monitored by the Safety Officer, if one is appointed. The Safety Officer should station himself at a location where he would be:

- a. Able to observe the majority of events
- b. Near where potentially hazardous activity may take place
- c. Accessible should he be required in a contingency

10. **Budget**

Funding may be needed for the following:

- a. Refreshments for the debrief.
- b. Reimbursement of expenses incurred by controllers or participants.

11. **Policy for disclosure**

- a. The Chief Controller should decide if the drill is to be announced (i.e. participants such as security staff will be notified of the conduct of the drill) or the conduct of the drill will not be announced beforehand (i.e. the participants will not be informed of the conduct of the drill).
- b. In deciding the mode, the following may be taken in to consideration:
 - (1) Security - Where it is assessed that confidentiality is uncertain or difficult to maintain, it is preferable to opt for an announced drill.
 - (2) Organizational culture - Unannounced drills may be perceived as a test of the participants.
 - (3) Ships at the Port Facility - Where it is anticipated that the drill may impact in any way on ships alongside, their crew, agents, suppliers or contractors, ships alongside should be notified in advance.

12. **Management endorsement**

The Chief Controller should seek approval from management for the conduct of the drill. Management should be informed of the drill prior to its conduct, even if formal approval is not required.



CONDUCTING THE DRILL

13. **Master Events List**

- a. The drill begins with a tsunami warning passed on to the Port Facility Security Officer by a controller. The warning will be simulated by a written note that will require the Port Facility to take immediate action to evacuate. The Port Facility staff will be required to respond to the tsunami warning. In addition to evacuation, security measures must be put in place to ensure the continued security of the premises in the absence of personnel due to the evacuation.
- b. The “injects” (simulated events) for the conduct of the drill are provided in the example of a Master Events List at Appendix 3. These would be introduced on schedule or on completion of the preceding event. Adjustments would be made to cater to the prevailing circumstances.

14. **Controller briefing**

- a. The briefing to controllers will be conducted by the Chief Controller and should include the following:
 - (1) Roles to be played by controllers.
 - (2) Positions of controllers at the commencement of the drill.
 - (3) Transport arrangements.
 - (4) Suggested responses to questioning by security staff.
 - (5) Safety measures.

b. Scenario

A tsunami warning has been heard over radio and confirmed by the PFSO with the local authority. The warning has called for the evacuation of all coastal areas within 500 m of the coastline.

c. Tasks

- (1) The Chief Controller will initiate the evacuation with a written note to the PFSO simulating the tsunami warning.
- (2) The Chief Controller will conduct the drill in accordance with the events listed in the Master Events List.



- (3) The Chief Controller and controllers should position themselves at suitable locations to discreetly observe the proceedings.

15. Participant briefing

a. A briefing to participants should be scheduled if it is decided that the drill is to be announced (paragraph 11). The brief to participants should include the following:

- (1) Review of the previous drill, including the lessons learnt
- (2) Objectives and scenario of the drill to be conducted
- (3) The Port Facility's instructions pertaining to the drill being conducted
- (4) Developments in maritime security (news, events, etc)

b. It should not include information or details of the controllers' plans for the drill.

16. Briefing Aids

Briefing slides and notes are provided in the accompanying PowerPoint files. With entries for the names, dates, locations, etc. these may be used to conduct the briefing to controllers and to participants.

17. Condition

The Port Facility is to proceed with its daily business as usual. No prior preparations on the part of the participants and/or security arrangements are required for the conduct of this drill.

18. Performance Measurement

a. Performance indicators should be established for this drill. Some may be dependent on the specific circumstances of the Port Facility. Ideally, performance indicators should be objective, but subjective ones may also be observed by the controllers, e.g. the degree of compliance with Port Facility security instructions.



- b. The following objective performance indicators are the target benchmark response times to be achieved for this drill:

FROM	TO	DURATION (minutes)
Notification of tsunami warning	Broadcast of evacuation instructions to Port Facility staff	w
	Evacuation completed	x
	Deployment of team to secure key areas against looting	y
	Key areas secured	z

CONCLUDING THE DRILL

19. The drill shall be ended under the following circumstances:
- a. When the designated Port Facility staff have evacuated the premises.
 - or
 - b. At a pre-determined time after the commencement of the drill.
 - or
 - c. Upon the Chief Controller's instruction.
20. **Debrief**
- a. Allow some time for the controllers and security staff to gather their thoughts on the events, in preparation for the debrief.
 - b. Assemble all participating security staff for the debrief
 - c. The Chief Controller should conduct the debrief
 - d. Appoint a note-taker to record the salient points of the discussion and in particular the lessons learnt and any follow-up actions required. Guidance should be provided to the note-taker as to what is to be recorded.
21. **Reports**
- a. Report the conduct of the drill to the management, either with a written report or verbally, as required by the management. An example of a report is provided at Appendix 4.
 - b. If a written report is submitted, arrange for a briefing on the drill to be given at a management meeting to inform top management of the proceedings.
-



22. **Records**

a. An ISPS Drills and Exercises Record Book should be maintained by the Port Facility. The following is an example of an entry in the ISPS Drill and Exercises Record Book:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
<i>15/10/XX</i>	<i>Drill</i>	<i>Emergency Response – Contingencies</i>	<i>D423 – Evacuation</i>	<i>PF/101/08-D423 dated xx/yy/zzzz</i>

b. A record of participants should also be kept to ensure all staff eventually participate in a D423 [see paragraph 7b(2)].



D423 TIME-TABLE FOR PLANNING

DAYS TO DRILL	DATE	EVENT	CHECK
D -14	(calendar	Review the Guidelines	
D -14	dates to be	Confirm budget availability for items and/or services to be employed during the drill	
D -12	inserted)	Identify the drill control team	
D -10		Obtain management endorsement if it is required	
D -7		Refine or adjust the Master Events List if necessary	
D -5		Confirm the participants	
D -1		Brief the controller	
D day		Conduct the drill	
D day		Perform the debrief and record the lessons learnt	
D day		Record the conduct of the drill	
D +1		Prepare the written report on the drill	
D +2		Report the conduct of the drill to management	



CODE WORDS

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

CODE WORD	MEANING
Drill Start	The drill is to commence
Drill Suspend	The drill is temporarily suspended
Drill Go	The drill is to resume from where it was suspended
Drill Stop	The drill is to be terminated (prematurely)
Drill End	The drill is completed
For Exercise	The message or statement that follows this preamble relates to the drill only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the drill e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."

**D423 MASTER EVENTS LIST**

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
<i>Date: 15 Oct XX</i>				
001	1000	<i>Chief Controller to announce the conduct of the drill on 17 Oct</i>	<i>Port Facility staff to revise the procedures in preparation</i>	<i>Port Facility</i>
<i>Date: 17 Oct XX</i>				
002	0900	<i>Controller briefing</i>		<i>Port Facility Security Office</i>
003	0930	<i>Participant briefing*</i>		<i>Port Facility</i>
004	1000	<i>All security staff at respective positions</i>		<i>As appropriate</i>
005	1015	<i>Controllers at respective positions</i>		<i>Chief Controller at Port Facility operations control room</i>
006	1020	<i>Drill commence</i>		<i>Port Facility</i>
007	1021	<i>Chief Controller to initiate the tsunami warning to the PFSO in a written note</i>	<i>Port Facility staff to apply the procedures for evacuation</i>	<i>Port Facility</i>
008	1130	<i>Drill End</i>	<i>Dispersal of personnel</i>	
009	1430	<i>Debrief</i>	<i>Controllers and selected staff to report findings and lessons learnt</i>	<i>Staff recreation room</i>
* Not required if the drill is to be conducted without prior notice to the participants				



REPORT ON THE CONDUCT OF SECURITY DRILL D423

Type of Drill	<i>Emergency Response – Contingencies</i>
Drill Conducted	<i>Evacuation</i>
General objective	<i>To test the Port Facility’s evacuation plan</i>
Date and time	<i>15 October XXXX at 0900 hrs</i>
Duration	<i>2 hrs</i>
Controllers	<i>Mr GHJ, Manager, Safety and Security – Chief controller Mr YHU, Deputy Stevedoring Manager - Controller Mr MJK, Shift captain - Controller</i>
Participants	<i>Port facility staff from the first shift, and off-duty managers All participants were briefed on the conduct of this drill</i>
Significant events	<i>1. The drill was initiated by the Chief Controller at 0930 hrs when he passed a note simulating the “tsunami warning” to the PFSO. 2. The drill was terminated at 1045 hrs when all evacuation plans had been successfully carried out. Include photographs if relevant</i>



Lessons learnt	<p><i>1. Most port facility staff misunderstood the evacuation drill announcement to mean evacuation of the building they worked in.</i></p> <p><i>2. Port Facility staffs were generally not fluent in the procedures, and had to refer to the evacuation plan for guidance on the procedures to be adopted.</i></p> <p>Include photographs if relevant</p>
Follow-up action	<p><i>Port Facility staff will need to be reminded at regular intervals of the evacuation procedures. This will be done through publication of different sections of the procedures in the Port Facility daily instructions on a regular basis.</i></p>
Performance indicators	<p><i>From Notification of tsunami warning to:</i></p> <p><i>1. Broadcast of evacuation instructions to Port Facility staff – w minutes</i></p> <p><i>2. Deployment of team to secure key areas against looting – x minutes</i></p> <p><i>3. Key areas secured – y minutes</i></p> <p><i>4. Evacuation completed – z minutes</i></p>
Total cost	\$xxx



Drill No.	D424
Category	Emergency Response
Type	Contingencies
Subject	Changing the Security Level
Security Level	1 to 2
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Vol I Part 1 – Guidelines for the Conduct of Maritime Security Drills 4. ISPS Code

INTRODUCTION

1. Under Regulation 3, Chapter XI-2 of the 1974 SOLAS Convention, Administrations shall set Security Levels and provide information on changes to the Security Level to ships and port facilities as the circumstances dictate. Port Facilities may be required to change the Security Level measures maintained by the facility in response to the local administration's directions.

2. This drill requires the Port Facility security staff to implement measures to change the Security Level in response to a deterioration in the security situation in the country. Upon receipt of the notification to raise the Security Level from Level 1, the security staff are expected to act in accordance with the Port Facility's Security Plan to attain Security Level 2.

AIM OF THE DRILL

3. **General Objective**

To practice the implementation of the measures for changing the Security Level.



4. **Specific Objectives**

- a. To validate the procedures for changing the Security Level from Level 1 to Level 2.
- b. To practice Port Facility security staff in the conduct of security duties at Security Level 2.
- c. To raise the awareness of the maritime security threat among staff of the Port Facility.
- d. Meet or better the specified benchmark response times for this drill.

Note: These guidelines may also be employed for a drill to change the Security Level measures from Level 2 to Level 3.

REQUIRED ATTAINMENTS

5. On completion of the drill, Port Facility security staff will be able to:
 - a. Manage the transition from Security Level 1 to Security Level 2.
 - b. Implement the measures for maintaining Port Facility security at Security Level 2.
 - c. Provide feedback to refine, update and improve the procedures.

PLANNING FOR THE DRILL

6. **Timetable**

The date for the conduct of this drill should be scheduled in the Port Facility's annual work program. The specific date would depend on the arrival of a ship at the Port Facility. Preparations for this drill should commence 2 weeks prior to the date of conduct. An example of a time-table for the preparation and conduct of this drill is given in Appendix 1.



7. Participation of the ship alongside

While the official Security Level of the Port Facility is not changed by the conduct of this drill, the difference in the Security Level measures employed by the Port Facility during the drill should prompt an exchange of Declaration of Security (DoS) as part of the proceedings. Thus the ship's cooperation should be sought for the exchange of the DoS, and the ship may participate in the planning, as well as take the opportunity to conduct its own associated maritime security drill or exercise.

8. Personnel

a. Control Team

(1) **Chief Controller:** The Chief Controller may be the Port Facility Security Officer (PFSO) or a manager in charge of security matters. Where the first line response by security staff involves the PFSO, a manager should be considered for the appointment of Chief Controller. This will free the PFSO to respond to the situation as it develops during the drill.

(2) **Controllers:** The Chief Controller should arrange for staff to assist with checks on various security stations and activities relating to the change of Security Level. These staff would be designated controllers.

(3) The Ship Security Officer (SSO) should also be appointed as a controller.

b. Participants

The participants will be the Port Facility security staff.

c. Safety Officer

The appointment of a safety officer for this drill should be considered.

9. Resources

a. Communications

(1) **Equipment** – Normal Port Facility staff communications means will be used.



(2) **Code words**

Code words are used to provide brevity and clarity in communications during the conduct of a drill. A list of suggested code words is given in Appendix 2. The code words must be promulgated to all controllers and participants of the drill.

b. Other requirements

- (1) Location for the debrief
- (2) Refreshments e.g. during the debrief
- (3) Person to take notes during the debrief
- (4) Stationery for note-taking

10. **Safety**

Staff activity in connection with this drill would be monitored by the Safety Officer, if one is appointed. The Safety Officer should station himself at a location where he would be

- a. Able to observe the majority of events
- b. In close proximity where potentially hazardous activity is to take place
- c. Accessible should he be required in a contingency

11. **Budget**

Funding may be needed for the following:

- a. Refreshments for the debrief
- b. Reimbursement of expenses incurred by controllers or participants

12. **Policy for disclosure**

- a. The Chief Controller should decide if the drill is to be announced (i.e. participants such as security staff will be notified of the conduct of the drill) or the conduct of the drill will not be announced beforehand (i.e. the participants will not be informed of the conduct of the drill).



- b. In deciding the mode, the following may be taken into consideration:
 - (1) Security - Where it is assessed that confidentiality is uncertain or difficult to maintain, it is preferable to opt for an announced drill.
 - (2) Organizational culture - Unannounced drills may be perceived as a test of the participants.

13. **Management endorsement**

The Chief Controller should seek approval from management for the conduct of the drill. Management should be informed of the drill prior to its conduct, even if formal approval is not required.

CONDUCTING THE DRILL

14. **Master Events List**

- a. The drill begins with the notification to the PFSO of the instructions from the Designated Authority to raise the Security Level. This notification would be a simulated message from the local port authority, citing government concern over the deteriorating security situation. The PFSO is expected to implement the additional security measures required for a Port Facility to operate at Security Level 2.
- b. The “injects” (simulated events) for the conduct of the drill are provided in the example of a Master Events List at Appendix 3. These would be introduced on schedule or on completion of the preceding event. Adjustments would be made to cater to the prevailing circumstances.

15. **Controller briefing**

- a. The briefing to controllers will be conducted by the Chief Controller and should include the following:
 - (1) Roles to be played by controllers.
 - (2) Positions of controllers at the commencement of the drill.
 - (3) Transport arrangements.
 - (4) Suggested responses to questioning by security staff.
 - (5) Safety measures.



b. Scenario

The maritime security situation has deteriorated. Threats that were previously under control are re-emerging and accounts of sea robbery have been increasing. The separatist group operating in the area has vowed to extract vengeance for a recent government raid on their training camp. The Designated Authority has decided to raise the Security Level from Level 1 to Level 2.

c. Tasks

- (1) The Chief Controller will initiate the change in Security Level with a written note to the PFSO simulating the Designated Authority's instruction.
- (2) The Chief Controller will conduct the drill in accordance with the events listed in the Master Events List.
- (3) The Chief Controller and controllers should position themselves at suitable locations to discreetly observe the proceedings.

16. Participant briefing

a. A briefing to participants should be scheduled if it is decided that the drill is to be announced (paragraph 12). The brief to participants should include the following:

- (1) Review of the previous drill, including the lessons learnt
- (2) Objectives and scenario of the drill to be conducted
- (3) The Port Facility's security instructions pertaining to the drill being conducted
- (4) Update on the ISPS Code and/or local regulations
- (5) Developments in maritime security (news, events, etc)

b. It should not include information or details of the controllers' plans for the drill.

17. Briefing Aids

Briefing slides and notes are provided in the accompanying PowerPoint files. With entries for the names, dates, locations, etc. these may be used to conduct the briefing to controllers and to participants.



18. Conditions

The Port Facility is to proceed with its daily business as usual. No prior preparations on the part of the participants and/or security arrangements are required for the conduct of this drill.

19. Performance Measurement

- a. Performance indicators should be established for this drill. Some may be dependent on the specific circumstances of the Port Facility. Ideally, performance indicators should be objective, but subjective ones may also be observed by the controllers, e.g. the degree of compliance with Port Facility security instructions.
- b. The following objective performance indicators are the target benchmark response times to be achieved for this drill:

FROM	TO	DURATION (minutes)
Notification to raise Security Level	Instructions promulgated to implement the change in Security Level	x
Instructions to implement the change in Security Level	Security staff deployed for Security Level 2	y
Security staff deployed for Security Level 2	All measures for Security Level 2 implemented	z

CONCLUDING THE DRILL

20. The drill shall be ended under the following circumstances:
 - a. When Port Facility security staff have completed deployments and actions in accordance with the Port Facility security instructions for Security Level 2.
 - or
 - b. At a pre-determined time after the commencement of the drill.
 - or
 - c. Upon the Chief Controller's instruction.

21. Debrief

- a. Allow some time for the controllers and security staff to gather their thoughts on the events, in preparation for the debrief.



- b. Assemble all participating security staff for the debrief
- c. The Chief Controller should conduct the debrief
- d. Appoint a note-taker to record the salient points of the discussion and in particular the lessons learnt and any follow-up actions required. Guidance should be provided to the note-taker as to what is to be recorded.

22. Reports

- a. Report the conduct of the drill to the management, either with a written report or verbally, as required by the management. An example of a report is provided at Appendix 3.
- b. If a written report is submitted, arrange for a briefing on the drill to be given at a management meeting to inform top management of the proceedings.

23. Records

An ISPS Drills and Exercises Record Book should be maintained by the Port Facility. The following is an example of an entry in the ISPS Drill and Exercises Record Book:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
<i>15/10/XX</i>	<i>Drill</i>	<i>Emergency Response – Contingencies</i>	<i>D424 – Changing the Security Level</i>	<i>PF/101/08-D424 dated xx/yy/zzzz</i>



D424 TIME-TABLE FOR PLANNING

DAYS TO DRILL	DATE	EVENT	CHECK
D -14	(calendar	Review the Guidelines	
D -14	dates to be	Confirm budget availability for items and/or services to be employed during the drill	
D -12	inserted)	Identify the drill control team	
D -10		Obtain management endorsement if it is required	
D -7		Refine or adjust the Master Events List if necessary	
D -5		Confirm the participants	
D -1		Liaison with ship alongside	
D -1		Brief the controllers	
D day		Conduct the drill	
D day		Perform the debrief and record the lessons learnt	
D day		Record the conduct of the drill	
D +1		Prepare the written report on the drill	
D +2		Report the conduct of the drill to management	



CODE WORDS

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

CODE WORD	MEANING
Drill Start	The drill is to commence
Drill Suspend	The drill is temporarily suspended
Drill Go	The drill is to resume from where it was suspended
Drill Stop	The drill is to be terminated (prematurely)
Drill End	The drill is completed
For Exercise	The message or statement that follows this preamble relates to the drill only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the drill e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."

**D424 MASTER EVENTS LIST**

SERIAL NO.	TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
<i>Date: 15 Oct XX</i>				
001	1000	<i>Chief Controller to announce the conduct of the drill on 17 Oct</i>	<i>Port Facility security staff to revise the procedures in preparation</i>	<i>Port Facility</i>
<i>Date: 17 Oct XX</i>				
002	0900	<i>Participant briefing*</i>		<i>Staff canteen</i>
003	0930	<i>Controller final briefing</i>		<i>Security office</i>
004	1000	<i>All security staff at respective positions</i>		<i>As appropriate</i>
005	1005	<i>Controllers at respective positions</i>		<i>Chief Controller at Port Facility security office</i>
006	1006	<i>Drill commence</i>		<i>Port Facility</i>
007	1010	<i>Chief Controller to initiate the change of Security Level</i>	<i>- Port Facility security staff to deploy for change of Security Level - PFSO to initiate DoS with ship alongside</i>	<i>Port Facility</i>
008	1230	<i>Drill End</i>	<i>Dispersal of personnel</i>	
009	1430	<i>Debrief</i>	<i>Controllers and selected staff to report findings and lessons learnt</i>	<i>Staff recreation room</i>
* Not required if the drill is to be conducted without prior notice to the participants				

**REPORT ON THE CONDUCT OF SECURITY DRILL D424**

Type of Drill	<i>Emergency Response – Contingencies</i>
Drill Conducted	<i>Changing the Security Level</i>
General objective	<i>To practice the implementation of the measures for changing the Security Level</i>
Date and time	<i>15 October XXXX at 0900 hrs</i>
Duration	<i>3 hrs</i>
Controllers	<i>Mr GHJ, Manager, Safety and Security – Chief controller Mr YHU, Deputy Stevedoring Manager - Controller Mr MJK, Ship Security Officer - Controller</i>
Participants	<i>Security staff from Team 2, Team 3 and Team 4 All participants were briefed on the conduct of this drill</i>
Significant events	<i>1. The drill was initiated by the Chief Controller at 1015 hrs when he passed a note simulating the Designated Authority’s directive to raise the Security Level from Level 1 to Level 2 to the PFSO. 2. Sniffer dogs were brought in for screening of cargo. 3. DoS with MV FTG alongside was “exchanged” at 1140 hrs. 4. The drill was terminated at 1300 hrs when all security staff and additional security measures for Security Level 2 were deemed to be in place. Include photographs if relevant</i>



Lessons learnt	<p><i>Security staffs were reasonably proficient in the tasks for raising the Security Level. The deployment of additional security measures were executed efficiently.</i></p> <p>Include photographs if relevant</p>
Follow-up action	<p><i>Gate 2 at the Restricted Area could not be locked. The Chief Engineer was informed, and will arrange to have it repaired.</i></p>
Performance indicators	<p><i>1. From Notification to raise Security Level to Instructions promulgated by PFSO to raise the Security Level – x hrs</i></p> <p><i>2. From Instructions promulgated by PFSO to Security staff deployed for Security Level 2 – y hrs</i></p> <p><i>3. From Security staff deployed for Security Level 2 to All measures for Security Level 2 implemented – z hrs</i></p>
Total cost	<p>\$xxx</p>



Section 5

Ship – Shore Interface

Ships are the *raison d'être* of Port Facilities. Hence the ship – shore interface is a very important element of all Port Facility operations, from the physical, such as berthing and cargo handling, to the administrative, such as documentation and passenger management. Cargo and stores handling has been dealt with as part of Materials Handling. In the enforcement of the provisions of the ISPS Code, the administrative functions of ensuring the integrity of the security status of the Port Facility vis-à-vis ships that do not comply with the provisions of the Code, and the exchange of a Declaration of Security between the ship and the Port Facility can count as being the most significant.

DRILL	TITLE
D511	Interface with non-ISPS complaint vessel
D512	Exchange of Declaration of Security



Drill No.	D511
Category	Ship – shore interface
Type	-
Subject	Interface with non-ISPS complaint vessel
Security Level	1 and 2
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Vol I Part 1 – Guidelines for the Conduct of Maritime Security Drills 4. ISPS Code

INTRODUCTION

1. A ship may not be in compliance with the provisions of the ISPS Code for a variety of reasons, such as:
 - a. The ship has not been verified by a Ship Security Assessment (SSA), and/or the International Ship Security Certificate (ISSC) is not valid or has expired.
 - b. The ship is not flagged under a Contracting Government's flag
 - c. The ship of less than 500 GRT
 - d. As detailed in Part B of the ISPS Code article 4.33
2. When a ship that is non-compliant proposes to call at a Port Facility that is compliant with the provisions of the ISPS Code, certain measures are required to provide reassurance and maintain the integrity of the security status of the Port Facility.
3. This drill will require the PFSO to respond to a notification from a ship scheduled to enter the Port Facility that it is non-compliant. Upon receipt of the notification, the PFSO should act in accordance with the Port Facility Security Plan to facilitate the arrival of the ship, if the conditions are satisfied.

AIM OF THE DRILL

4. **General Objective**

To practice the procedures for interfacing with a non-ISPS compliant vessel.



5. **Specific Objectives**

- a. To practice implementing the measures for accepting a non-ISPS compliant ship alongside.
- b. To validate the ship-shore communications with vessels reporting non-compliance in advance of their arrival.
- c. To raise the awareness of the provisions of the ISPS Code pertaining to ISPS compliance on the part of vessels, and non-compliant vessels.
- d. Meet or better the specified compliance benchmark for this drill.

REQUIRED ATTAINMENTS

6. On completion of the drill, Port Facility security staff will be able to:
 - a. apply the measures for accepting a non-ISPS compliant ship alongside.
 - b. perform the procedures without undue delay to the ship.
 - c. provide feedback to refine, update and improve the procedures.

PLANNING FOR THE DRILL

7. **Timetable**

The date for the conduct of this drill should be scheduled in the Port Facility's annual work program. The specific date would depend on the scheduled arrival of a ship at the Port Facility. Preparations for this drill should commence 2 weeks prior to the date of conduct. An example of a time-table for the preparation and conduct of this drill is given in Appendix 1.

8. **Participation of the ship**

The cooperation of a ship scheduled to visit the Port Facility should be sought for the SSO to participate as a controller in the drill. The ship need not be a non-compliant vessel. Technically, permission for a non-compliant ship to enter the Port Facility would be dependent on the measures reported by the ship as having been undertaken on board. In the interests of realism therefore, the ship should agree to, and participate in the drill while it is still well out at sea. The Chief Controller will request the participation of a ship



scheduled to call at the Port Facility. An example of a letter of invitation is provided in Appendix 2.

9. Personnel

a. Control Team

- (1) **Chief Controller:** The Chief Controller should be a Manager in charge of security matters, as the PFSO would be a participant with a key role. This will free the PFSO to respond to the situation as it develops during the drill.
- (2) The Ship Security Officer (SSO) should be appointed as a controller.

b. Participants

The participants will be the Port Facility Security Officer, and his assistants.

10. Resources

a. Communications

- (1) **Means** – A channel of communications between the Port Facility and the ship at sea should exist or be established for this drill.
- (2) **Code words**

Code words are used to provide brevity and clarity in communications during the conduct of a drill. A list of suggested code words is given in Appendix 3. The code words must be promulgated to all controllers and participants of the drill.

- (3) **Security**

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

b. Other requirements

- (1) Location for the debrief.
- (2) Refreshments e.g. during the debrief.
- (3) Person to take notes during the debrief.
- (4) Stationery for note-taking.



11. Budget

Funding may be needed for the following:

- a. The cost of ship – shore communications for the drill.
- b. Refreshments for the debrief.
- c. Reimbursement of expenses incurred by controllers or participants.

12. Policy for disclosure

- a. The Chief Controller should decide if the drill is to be announced (i.e. participants such as security staff will be notified of the conduct of the drill) or the conduct of the drill will not be announced beforehand (i.e. the participants will not be informed of the conduct of the drill).
- b. In deciding the mode, the following may be taken into consideration:
 - (1) Security - Where it is assessed that confidentiality is uncertain or difficult to maintain, it is preferable to opt for an announced drill.
 - (2) Organizational culture - Unannounced drills may be perceived as a test of the participants.

13. Management endorsement

The Chief Controller should seek approval from management for the conduct of the drill. Management should be informed of the drill prior to its conduct, even if formal approval is not required.

CONDUCTING THE DRILL

14. Master Events List

- a. The drill begins with the ship sending a notification of its non-compliance to the Port Facility Security Officer. This would be done by the SSO after communications for the drill have been established by the Chief Controller. The PFSO is expected to process the ship's entry to the Port Facility by establishing the reasons for the ship's non-compliance, deciding what measures are needed to ensure the integrity of the Port Facility's own Security Level, communicating those measures to the ship, and obtaining agreement on the measures from the ship.



b. Planned events for the conduct of the drill are provided in the example of a Master Events List at Appendix 4. These would be introduced on schedule or on completion of the preceding event. Adjustments would be made to cater to the prevailing circumstances.

15. **Controller briefing**

a. The briefing to controllers will be conducted by the Chief Controller and should include the following:

- (1) Roles to be played by controllers.
- (2) Positions of controllers at the commencement of the drill.
- (3) Transport arrangements.
- (4) Suggested responses to questioning by security staff.
- (5) Safety measures.

b. Scenario

A ship scheduled to enter the Port Facility reports that it is not in compliance with the provisions of the ISPS Code for the Security Level in force, as it has an unserviceable Ship Security Alert System (simulated), and it has embarked two fishermen rescued at sea (simulated).

c. Tasks

- (1) The Chief Controller will initiate the drill by requesting the ship to send a notification of non-compliance to the Port Facility. It is expected that this notification would be relayed to the PFSO, who is then expected to communicate with the SSO for further action. An example of the possible communication between the PFSO and the SSO is provided in Appendix 5.
- (2) The Chief Controller will conduct the drill in accordance with the events listed in the Master Events List.

16. **Participant briefing**

a. A briefing to participants should be scheduled if it is decided that the drill is to be announced (paragraph 12). The brief to participants should include the objectives, nature and scenario for the drill.

b. It should not include information or details of the controllers' plans for the drill.



17. Briefing Aids

Briefing slides and notes are provided in the accompanying PowerPoint files. With entries for the names, dates, locations, etc. these may be used to conduct the briefing to controllers and to participants.

18. Condition

The Port Facility is to proceed with its daily business as usual. No prior preparations on the part of the participants and/or security arrangements are required for the conduct of this drill.

19. Performance Measurement

Performance indicators may be established for this drill. Some may be dependent on the specific circumstances of the Port Facility. Ideally, performance indicators should be objective, but subjective ones may also be observed by the controllers, such as the degree of compliance with Port Facility security instructions in handling a non-compliant ship.

CONCLUDING THE DRILL

20. The drill shall be ended under the following circumstances:

- a. When the PFSO reports that the ship has concluded the actions required for the subsequent exchange of a Declaration of Security upon arrival of the ship.
or
- b. When the PFSO simulates a report that the ship remains in non-compliant state and cannot be permitted to enter the Port Facility.
or
- c. Upon the Chief Controller's instruction.

21. Debrief

- a. The SSO should be invited to attend the debrief. Should the SSO decline, the debrief may proceed even before the ship arrives at the Port Facility.
- b. Assemble all participating security staff for the debrief.
- c. The Chief Controller should conduct the debrief.
- d. Appoint a note-taker to record the salient points of the discussion and in particular the lessons learnt and any follow-up actions required. Guidance should be provided to the note-taker as to what is to be recorded.



22. Reports

- a. Report the conduct of the drill to the management, either with a written report or verbally, as required by the management. An example of a report is provided at Appendix 6.
- b. If a written report is submitted, arrange for a briefing on the drill to be given at a management meeting to inform top management of the proceedings.

23. Records

An ISPS Drills and Exercises Record Book should be maintained by the Port Facility. The following is an example of an entry in the ISPS Drill and Exercises Record Book:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
<i>15/10/XX</i>	<i>Drill</i>	<i>Ship – shore interface</i>	<i>D501 – Interface with non-ISPS complaint vessel</i>	<i>PF/101/08-D501 dated xx/yy/yyyy</i>

**D501 TIME-TABLE FOR PLANNING**

DAYS TO DRILL	DATE	EVENT	CHECK
D -18	(calendar	Review the Guidelines	
D -18	dates to be	Confirm budget availability for items and/or services to be employed during the drill	
D -18	inserted)	Identify the drill control team	
D -17		Obtain management endorsement if it is required	
D -16		Liaison with the ship agent	
D -10		Refine or adjust the Master Events List if necessary	
D -1		Brief the participants	
D day		Conduct the drill	
D day		Perform the debrief and record the lessons learnt. Should the ship decide to participate in the debrief, the arrival of the ship should be awaited before the conduct of the debrief.	
D +		Record the conduct of the drill	
D +		Prepare the written report on the drill	
D +		Report the conduct of the drill to management	



Port Facility

2 October XXXX

The Captain
MV GBN

through

The Manager
Ship Management PLC

Dear Sir,

PARTICIPATION IN MARITIME SECURITY DRILL

Reference: ISPS Code Part A 1.3.7

MV GBN will be calling at *Port Facility* on *17 Oct XXXX*.

As part of our obligations to the requirements of the ISPS Code, our Port Facility would like to take this opportunity to conduct a drill with the aim of practicing the procedures for interfacing with a non-ISPS compliant vessel.

We are aware that *MV GBN* is fully compliant, and we believe that *MV GBN* has the resources to contribute significantly to the drill by simulating a non-compliant vessel. All that is required is to respond to communications with the Port Facility on the measures to be taken on board so that a Declaration of Security may be issued. These are to be simulated in communications, and no physical measures are expected. To facilitate the responses by *MG GBN*, a set of simulated responses will be provided to the ship.

We thank you in advance, and look forward to your cooperation.

(signed)
Mr. DEF
General Manager
Port Facility



CODE WORDS

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

CODE WORD	MEANING
Drill Start	The drill is to commence
Drill Suspend	The drill is temporarily suspended
Drill Go	The drill is to resume from where it was suspended
Drill Stop	The drill is to be terminated (prematurely)
Drill End	The drill is completed
For Exercise	The message or statement that follows this preamble relates to the drill only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the drill e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."

**D501 MASTER EVENTS LIST**

SERIAL NO.	DATE/TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
001	D -16	Chief Controller to write to the ship agent to request participation of the ship (SSO) in the drill	It is expected that the ship will agree	
002		Ship agrees to participate in the drill	Chief Controller to establish communications with the ship	
003		Chief Controller to communicate examples of responses to the ship to facilitate the drill	Ship will prepare to respond to the PFSO during the drill.	
004		Participant briefing*		Chief Controller's office
005		Chief Controller to request the ship to send notification of non-compliance	Ship will notify PFSO through ship agent that it is non-compliant	Security office
006		SSO notifies PFSO that the ship is non-compliant because the SSAS is unserviceable	PFSO communicates requirements to ship	Security office
007		Ship responds, accepting the requirements	PFSO reports DoS exchange agreeable	Security office
008		Ship informs PFSO that they are carrying 2 persons rescued at sea	PFSO requests details	
009		Ship provides details of the fishermen	PFSO assesses the risk	
010		Ship arrives		
011		Debrief	Chief controller, SSO and PFSO to report findings and lessons learnt	Chief Controller's office

* Not required if the drill is to be conducted without prior notice to the participants



D501 COMMUNICATIONS BETWEEN THE PORT FACILITY AND THE SHIP

This dialogue serves as a guide to meet the simulation requirements of the drill. It is not meant as a script either for the PFSO or the SSO, but as a guide to the intent and content of the possible communication.

PFSO to MV GBN: We have been informed by your ship agent that your SSAS is non-operational. You are therefore technically not in compliance with the requirements of the ISPS Code.

SSO to Port Facility: That is correct. We have arranged for repairs to be carried out when we arrive at your Port Facility.

PFSO to MV GBN: Technically you will be non-compliant when you enter port. Will you agree to an exchange of DoS upon your arrival?

SSO to Port Facility: Yes, that will be acceptable.
I have to inform you that we have rescued 2 fishermen at sea.

PFSO to MV GBN: Please send us the details of the fishermen, and the circumstances of the rescue.

SSO to Port Facility: The fishermen claim they are citizens of your country. Their race appears to be consistent with that claim. Their names are Mr JKN, age 55 and Mr GVF, age 57, in good health. They do not have identity documents. Their boat was intact but they claim the engine broke down two days ago. They did not have any catch on board, but brought along with them a sealed wooden crate.

PFSO to MV GBN: What does the crate contain?

SSO to Port Facility: We do not know. They refuse to open it.



REPORT ON THE CONDUCT OF SECURITY DRILL D501

Type of Drill	<i>Ship – shore interface</i>
Drill Conducted	<i>Interface with non-ISPS complaint vessel</i>
General objective	<i>To practice the procedures for interfacing with a non-ISPS compliant vessel</i>
Date and time	<i>15 October XXXX at 0900 hrs</i>
Duration	<i>3 hrs</i>
Controllers	<i>Mr GHJ, Manager, Safety and Security – Chief controller Mr MJK, Ship Security Officer - Controller</i>
Participants	<i>Mr XSA, PFSO – Prior notification on the conduct of this drill was provided</i>
Significant events	<i>1. The drill commenced when the SSO of MV GBN notified the PFSO that MV GBN was non-compliant (simulated). 2. PFSO communicated the terms and conditions MV GBN would have to satisfy before it could enter the Port Facility, and the SSO responded accordingly. 3. SSO confirmed compliance with the requirements and PFSO declared DoS with MV GBN would be exchanged when the ship was alongside. 4. The drill was terminated at 1300 hrs.</i>



Lessons learnt	<p><i>Communications between the ship and Port Facility were well established and worked well.</i></p> <p><i>PFSO was knowledgeable in the requirements for non-compliant ship and negotiated agreement with the ship efficiently.</i></p>
Follow-up action	<p><i>Letter of thanks to be sent by PFSO to MV GBN for participating in the drill.</i></p>
Performance indicators	<p><i>The degree of compliance with Port Facility security instructions in handling a non-compliant ship – x%</i></p>
Total cost	<p><i>\$xxx</i></p>



Drill No.	D512
Category	Ship – shore interface
Type	-
Subject	Exchange of Declaration of Security (DoS)
Security Level	1 and 2
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Vol I Part 1 – Guidelines for the Conduct of Maritime Security Drills 4. ISPS Code

INTRODUCTION

1. A Declaration of Security is an assurance between a ship and a Port Facility with which it interfaces, of the respective security measures each will take in respect of a difference in Security Levels, or security measures specified and implemented in the Port Facility's Security Plan that apply to the ship alongside.
2. When a ship that is at a different Security Level, or that is required to comply with the Port Facility's specified security measures proposes to call at the Port Facility, a DoS may be exchanged.
3. This drill will require the PFSO to implement measures to upgrade the Security Level of the Port Facility in order to meet the requirements of a ship that is at a higher Security Level. Upon receipt of the notification of the ship's higher Security Level, the PFSO is expected to discuss with the SSO and act in accordance with the Port Facility security instructions to match the Security Level of the ship.

AIM OF THE DRILL

4. General Objective

To practice the procedures for the exchange of a DoS.



5. **Specific Objectives**

- a. To practice shore-ship interaction on maritime security issues.
- b. To practice implementing the measures for the exchange of a DoS.
- c. To raise the awareness of the provisions of the ISPS Code pertaining to the ship-shore interface.
- d. Meet or better the specified compliance benchmark for this drill.

REQUIRED ATTAINMENTS

6. On completion of the drill, Port Facility security staff will be able to:
 - a. Negotiate the successful exchange of a DoS.
 - b. Implement the measures to comply with the requirements of the DoS.
 - c. Provide feedback to refine, update and improve the procedures for the exchange of DoS.

PLANNING FOR THE DRILL

7. **Timetable**

The date for the conduct of this drill should be scheduled in the Port Facility's annual work program. The specific date would depend on the scheduled arrival of a ship at the Port Facility. Preparations for this drill should commence 2 weeks prior to the date of conduct. An example of a time-table for the preparation and conduct of this drill is given in Appendix 1.

8. **Participation of the ship**

The cooperation of a ship scheduled to visit the Port Facility should be sought to participate as controller in the drill. As the measures for the exchange of a DoS should be satisfied prior to the ship coming alongside, the ship should be in communications regarding the drill while it is still out at sea. The Chief Controller will request the participation of a ship scheduled to call at the Port Facility. An example of a letter of invitation is provided in Appendix 2.



9. Personnel

a. Control Team

(1) **Chief Controller:** The Chief Controller should be a manager in charge of security matters, as the PFSO would be a participant with a key role. This will free the PFSO to respond to the situation as it develops during the drill.

(2) The Ship Security Officer (SSO) should be appointed as a controller.

b. Participants

The participants will be the Port Facility Security Officer, and his assistants.

10. Resources

a. Communications

(1) **Means** – A channel of communications between the Port Facility and the ship at sea should exist or be established for this drill.

(2) **Code words**

Code words are used to provide brevity and clarity in communications during the conduct of a drill. A list of suggested code words is given in Appendix 3. The code words must be promulgated to all controllers and participants of the drill.

(3) **Security**

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

b. Other requirements

- (1) Location for the debrief
- (2) Refreshments e.g. during the debrief
- (3) Person to take notes during the debrief
- (4) Stationery for note-taking



11. Budget

Funding may be needed for the following:

- a. The cost of ship – shore communications for the drill.
- b. Refreshments for the debrief.
- c. Reimbursement of expenses incurred by controllers or participants.

12. Policy for disclosure

- a. The Chief Controller should decide if the drill is to be announced (i.e. participants such as security staff will be notified of the conduct of the drill) or the conduct of the drill will not be announced beforehand (i.e. the participants will not be informed of the conduct of the drill).
- b. In deciding the mode, the following may be taken into consideration:
 - (1) Security - Where it is assessed that confidentiality is uncertain or difficult to maintain, it is preferable to opt for an announced drill.
 - (2) Organizational culture - Unannounced drills may be perceived as a test of the participants.

13. Management endorsement

The Chief Controller should seek approval from management for the conduct of the drill. Management should be informed of the drill prior to its conduct, even if formal approval is not required.

CONDUCTING THE DRILL

14. Master Events List

- a. The drill begins with the ship sending a notification to the Port Facility, received by the PFSO, that the ship is at a higher Security Level. Discussions undertaken between the PFSP and the SSO establish what measures are to be implemented by the Port Facility to match the Security Level requirements so that a Declaration of Security may be signed and exchanged between the two parties.
- b. Planned events for the conduct of the drill are provided in the example of a Master Events List at Appendix 4. These would be introduced on schedule or on completion of the preceding event. Adjustments would be made to cater to the prevailing circumstances.



15. **Controller briefing**

a. The briefing to controllers will be conducted by the Chief Controller and should include the following:

- (1) Roles to be played by controllers.
- (2) Positions of controllers at the commencement of the drill.
- (3) Transport arrangements.
- (4) Suggested responses to questioning by security staff.
- (5) Safety measures.

b. Scenario

A ship scheduled to enter the Port Facility informs the Port Facility that it is at a higher Security Level, and requests discussions with the PFSO on the exchange of a DoS.

c. Tasks

(1) The Chief Controller will initiate the drill by requesting the ship to send a notification of its Security Level to the Port Facility. It is expected that this notification would be relayed to the PFSO, who is then expected to distinguish the difference in Security Levels between the ship and the Port Facility and initiate communications with the SSO for further action. An example of the possible communication between the PFSO and the SSO is provided in Appendix 5.

(2) The Chief Controller will conduct the drill in accordance with the events listed in the Master Events List.

16. **Participant briefing**

a. A briefing to participants should be scheduled if it is decided that the drill is to be announced (paragraph 11). The brief to participants should include the objectives, nature and scenario for the drill.

b. It should not include information or details of the controllers' plans for the drill.



17. **Briefing Aids**

Briefing slides and notes are provided in the accompanying PowerPoint files. With entries for the names, dates, locations, etc. these may be used to conduct the briefing to controllers and to participants.

18. **Condition**

The Port Facility is to proceed with its daily business as usual. No prior preparations on the part of the participants and/or security arrangements are required for the conduct of this drill.

19. **Performance Measurement**

Performance indicators may be established for this drill. Some may be dependent on the specific circumstances of the Port Facility. Ideally, performance indicators should be objective, but subjective ones may also be observed by the controllers, as follows:

- a. Efficiency and effectiveness in establishing the measures for Security Level 2
- b. The degree of compliance with Port Facility security instructions in:
 - (1) establishing the measures for Security Level 2
 - (2) exchange of the DoS.

CONCLUDING THE DRILL

20. The drill shall be ended under the following circumstances:

- a. When the PFSO reports that the Port Facility has complied with the requirements of the DoS and the exchange of DoS has taken place.
or
- b. Upon the Chief Controller's instruction.



21. Debrief

- a. The SSO should be invited to attend the debrief.
- b. Assemble all participating security staff for the debrief.
- c. The Chief Controller should conduct the debrief.
- d. Appoint a note-taker to record the salient points of the discussion and in particular the lessons learnt and any follow-up actions required. Guidance should be provided to the note-taker as to what is to be recorded.

22. Reports

- a. Report the conduct of the drill to the management, either with a written report or verbally, as required by the management. An example of a report is provided at Appendix 5.
- b. If a written report is submitted, arrange for a briefing on the drill to be given at a management meeting to inform top management of the proceedings.

23. Records

An ISPS Drills and Exercises Record Book should be maintained by the Port Facility. The following is an example of an entry in the ISPS Drill and Exercises Record Book:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
<i>15/10/XX</i>	<i>Drill</i>	<i>Ship – shore interface</i>	<i>D502 – Exchange of Declaration of Security</i>	<i>PF/101/08-D502 dated xx/yy/zzzz</i>



D502 TIME-TABLE FOR PLANNING

DAYS TO DRILL	DATE	EVENT	CHECK
D -18	(calendar	Review the Guidelines	
D -18	dates to be	Confirm budget availability for items and/or services to be employed during the drill	
D -18	inserted)	Identify the drill control team	
D -17		Obtain management endorsement if it is required	
D -16		Liaison with the ship agent	
D -10		Refine or adjust the Master Events List if necessary	
D -1		Brief the participants	
D day		Conduct the drill	
D day		Perform the debrief and record the lessons learnt	
D +		Record the conduct of the drill	
D +		Prepare the written report on the drill	
D +		Report the conduct of the drill to management	



Port Facility

2 October XXXX

The Captain
MV GBN

through

The Manager
Ship Management PLC

Dear Sir,

PARTICIPATION IN MARITIME SECURITY DRILL

Reference: ISPS Code Part A 1.3.7

MV GBN will be calling at *Port Facility* on *17 Oct XXXX*.

As part of our obligations to the requirements of the ISPS Code, our Port Facility would like to take this opportunity to conduct a drill with the aim of practicing the procedures for the exchange of a Declaration of Security.

We believe that *MV GBN* has the resources to contribute significantly to the drill by simulating a vessel at a higher Security Level than our Port Facility. All that is required is for the ship to communicate, and discuss its requirements of the Port Facility so that the ship-shore interface may be completed without affecting the integrity of the ship's Security Level. To facilitate the responses by *MG GBN*, a set of simulated responses will be provided to the ship.

We thank you in advance, and look forward to your cooperation.

(signed)
Mr. DEF
General Manager
Port Facility



CODE WORDS

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

CODE WORD	MEANING
Drill Start	The drill is to commence
Drill Suspend	The drill is temporarily suspended
Drill Go	The drill is to resume from where it was suspended
Drill Stop	The drill is to be terminated (prematurely)
Drill End	The drill is completed
For Exercise	The message or statement that follows this preamble relates to the drill only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the drill e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."

**D502 MASTER EVENTS LIST**

SERIAL NO.	DATE/TIME	EVENT/INJECT	EXPECTED RESPONSE	LOCATION
001	D -16	Chief Controller to write to the ship agent to request participation of the ship (SSO) in the drill	It is expected that the ship will agree	
002		Ship agrees to participate in the drill	Chief Controller to establish communications with the ship	
003		Chief Controller to communicate examples of responses to the ship to facilitate the drill	Example responses for the ship are provided in Appendix 5 to facilitate the SSO's participation. Ship will prepare to respond to the PFSO during the drill.	
004		Participant briefing*		Chief Controller's office
005		Chief Controller to request the ship to send notification of Security Level	Ship will notify PFSO through ship agent that it is at Security Level 2	Security office
006		Drill commence	PFSO communicates response to the ship	Security office
007		Ship agrees to measures and proposes exchange of DoS	PFSO reports DoS exchange agreeable	Security office
008		Drill ends		
009		Ship arrives		
010		Debrief	Chief controller, SSO and PFSO to report findings and lessons learnt	Chief Controller's office

* Not required if the drill is to be conducted without prior notice to the participants



D502 COMMUNICATIONS BETWEEN THE PORT FACILITY AND THE SHIP

This dialogue serves as a guide to meet the simulation requirements of the drill. It is not meant as a script either for the PFSO or the SSO, but as a guide to the intent and content of the communication.

SSO to Port Facility: We understand that your Port Facility is at Security Level 1. Please note that MV GBN is presently at Security Level 2, and intends to remain at this Security Level for compliance with our next port of call.

PFSO to MV GBN: Our Port Facility is at Security Level 1 as local security conditions are normal. However, we are prepared to undertake temporary measures to meet your requirements, as follows:

1. Assign one security officer full-time to your berth to control access to the berth, and for general security duties.
2. Additional screening for all cargo and ship's stores to be embarked, including X-ray scanning.
3. Vetting of all personnel requesting access to your ship.

Berthing costs will be \$XXX per hour. Cargo and ship's stores handling charges will be \$YYY per ton. Please advise acceptability.

SSO to Port Facility: Your proposed measures are accepted. We propose an exchange of DoS. Please address berthing and cargo handling charges to our ship agent Mssrs TGY PLC. Please implement the proposed measures prior to our arrival, and incorporate them in the draft DoS.

PFSO to MV GBN: Berthing and handling charges agreed by Mssrs TGY PLC. They will confirm with your ship manager separately. DoS ready for your signature and exchange upon arrival.



REPORT ON THE CONDUCT OF SECURITY DRILL D502

Type of Drill	<i>Ship – shore interface</i>
Drill Conducted	<i>Exchange of Declaration of Security</i>
General objective	<i>To practice the procedures for the exchange of a DoS</i>
Date and time	<i>15 October XXXX at 0900 hrs</i>
Duration	<i>3 hrs</i>
Controllers	<i>Mr GHJ, Manager, Safety and Security – Chief controller Mr MJK, Ship Security Officer - Controller</i>
Participants	<i>Mr XSA, PFSO – Prior notification on the conduct of this drill was provided</i>
Significant events	<i>1. The drill commenced when the SSO of MV GBN notified the PFSO that MV GBN was at Security Level 2 (simulated) and desired to retain that Security Level. 2. With our Port Facility at Security Level 1, PFSO suggested measures to level up the Port Facility security level to meet MV GBN's requirements, as well as the costs to MV GBN for doing so. 3. SSO confirmed acceptance of the measures and proposed an exchange of DoS. PFSO signaled agreement. 4. The drill was terminated at 1300 hrs.</i>



Lessons learnt	<p><i>Communications between the ship and Port Facility were well established and worked well.</i></p> <p><i>The PFSP lacks detail on what needs to be done to level up the security level to reduce or eliminate differences in Security Level issues between a ship and the Port Facility. PFSO took the initiative to propose the measures.</i></p>
Follow-up action	<p><i>1. The PFSP will be reviewed to incorporate a menu of measures to adjust the security level of the Port Facility to meet specific security needs of ships at different Security Levels.</i></p> <p><i>2. Letter of thanks to be sent by PFSO to MV GBN for participating in the drill.</i></p>
Performance indicators	<p><i>1. Efficiency and effectiveness in establishing Security Level 2 measures.</i></p> <p><i>2. The degree of compliance with Port Facility security instructions in handling:</i></p> <ul style="list-style-type: none"><i>a. Raising the Security Level – x%</i><i>b. Exchange of DoS – y%</i>
Total cost	\$xxx

Volume II

Maritime Security Exercises



Volume 2 - Part 1

GUIDELINES

FOR THE PLANNING

AND CONDUCT OF

MARITIME SECURITY EXERCISES



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INTRODUCTION

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

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

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

AIM

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

OBJECTIVES

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



- a. To review and exercise security contingency plans against maritime security threats.
- b. To practice the command, control, coordination and communications arrangements.
- c. To exercise the responses to specific maritime security threats.
- d. To validate new processes and resources to be deployed.

PLANNING

6. Lead Agency

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

7. Schedule

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

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



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

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

8. Exercise Planning and Control Team (EPCT)

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

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

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



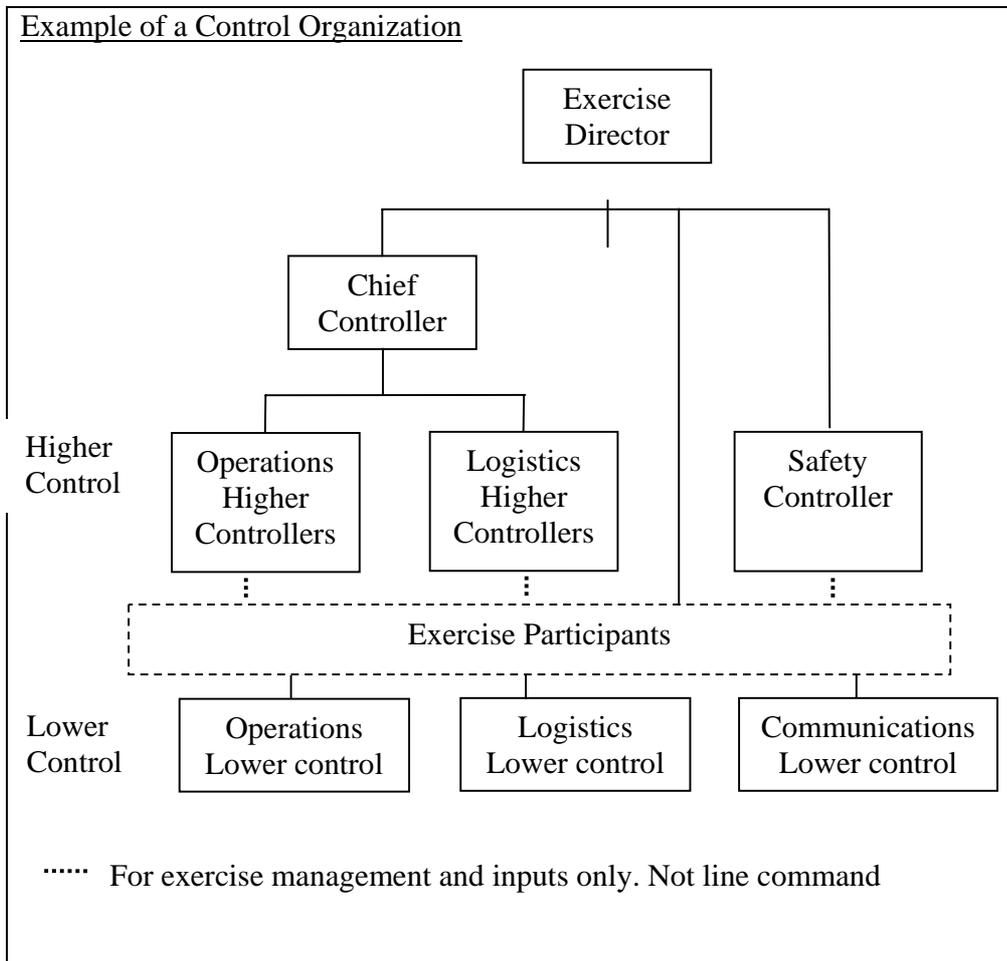
(2) Lower controllers are mainly required during the execution phase of tabletop simulation exercises. They will act as the subordinate persons or entities that exercise participants give directions to, and can expect a response or report from. Usually, they will come from the same organizations as the participants¹.

c. Participating organizations should be requested to nominate senior management-level personnel to the EPCT as Higher Controllers, and operational level personnel as Lower Controllers.

d. Higher and Lower Controllers are required not only to lend direction to the exercise, but also because not all parties in an organization will participate in an exercise (especially in tabletop simulation planning exercises) yet their inputs are necessary for the events to unfold. See [Appendix 2](#) for the responsibilities and tasks of the controllers.

e. Participants playing the part of the adversary are likely to be required in any scenario. In a tabletop simulation exercise, they will participate as lower controllers, and, if a State agency's electronic battle simulator is to be used to enhance the execution phase, they become the crew of various adversary forces played in the simulator. In a deployment exercise, actual assets must be assigned to plan and deploy as the adversary.

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



9. Participants

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

10. Exercise Planning Conferences

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



11. Exercise objectives

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

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

12. Exercise concept

Exercises may be conducted in phases, as follows:

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



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

13. Scenario

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

14. Master Events List

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

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

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

15. Communications

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



- a. Exercise Instructions – Written instructions should be published to cover the intentions, objectives, schedule; and personnel, communications, logistics and administrative arrangements for the exercise. A set of administrative instructions may be published for the EPCT activity and another for all, both planners and participants. An example of an administrative instruction is given in [Appendix 6](#).
- b. Means of Communications - The communications means and channels established under the existing Security Plans should be employed by the participants, unless a new communications arrangement is being tested during the exercise, or if special communications equipment and/or procedures are to be implemented at higher Security Levels. These communications channels must be set up for the flow of instructions, messages and reports that will be generated during the exercise. These communications channels should replicate those that will be employed during an actual operation, and will include communications security considerations and equipment where necessary. In addition, exercise Controllers will require a separate channel of communications among themselves. In all these cases, arrangements for the equipment and procedures will need to be made, a communications plan ([Appendix 7](#)) promulgated and the communications tested prior to the commencement of the exercise.
- c. In full scale or live exercises, the entire range of communications means should be employed for the conduct of the exercises. With tabletop simulation exercises, communications may be verbal, or in the form of email or paper messages passed physically between participants, and between controllers and participants. Verbal messages should be recorded in a message log. Paper messages with simple headings like “Date”, “Time”, “From”, “To” and if required, “Security Classification” and “Precedence” (indicates the priority the message should be accorded) should be filed. These constitute a record of the exercise proceedings. They are useful for the debrief, and may be destroyed thereafter.
- d. Code words are used to provide brief, secure and unambiguous communications during the conduct of an exercise. Some suggested code words are given in [Appendix 8](#). Code words may be generated for a specific pre-arranged action or series of actions designed to achieve a specific outcome, and/or where communications security is needed. The code words must be promulgated to all controllers and participants of the exercise

16. Logistics

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



a. Rooms

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

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

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

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

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

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

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

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

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

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



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

17. Administration

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

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

18. Budget

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

19. Safety

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



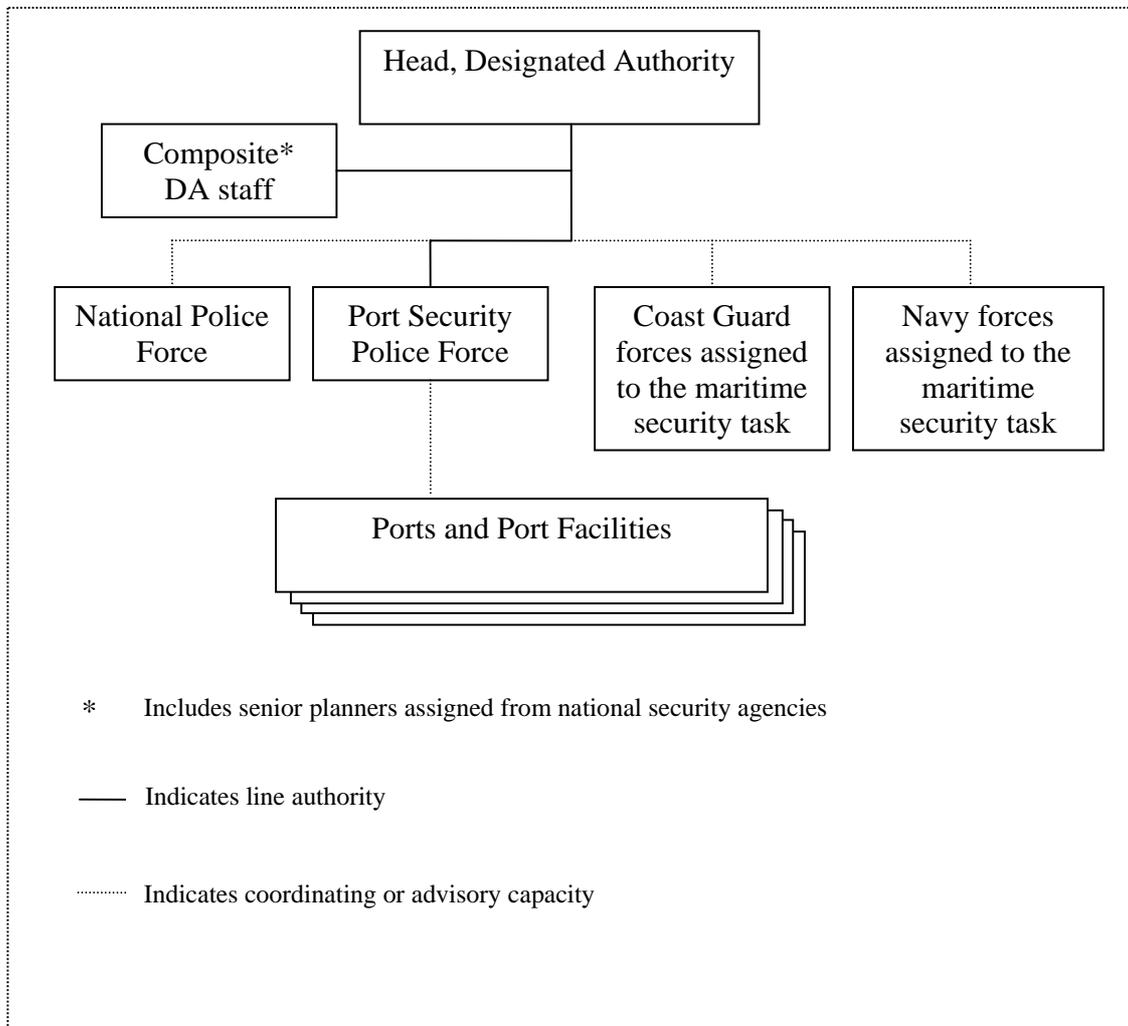
ENDORSEMENT

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

CONDUCT OF THE EXERCISE

21. **Organization**

As an aid to understanding the processes in an exercise, a fictitious temporary national organization with broad responsibility for maritime security is given as an example².



² Respective Economies will need to draw parallels to this generic organization



22. Task Instructions

a. Operations are generally directed by a set of written instructions. These Task Instructions, at each respective level, initiate the planning processes that lead to the conduct of an operation or task. The product of the planning process is a set of Task Instructions for subordinate forces at the next lower level. Given the example organization above, the appointed head to represent the Designated Authority supervises the development of an operations plan by his operations staff, made up of personnel from his own agency as well as representatives from national security agencies. This plan may be promulgated as a set of Task Instructions to all those agencies with responsibility for the maritime security task as pre-determined at the national level. In the example³, these will be the Port Security Police Force (PSPF- as appropriate), the national Police force, the Coast Guard and the Navy. Each will have tasks assigned in the Task Instructions. It then becomes their responsibility to plan their tasks in support of the maritime security plan. Each will, upon formulation of their respective plans, promulgate their own Task Instructions to their subordinate forces. In the example, the PSPF, having responsibility for maritime security in ports and port facilities nationwide, will address the requirements and contributions of these ports and port facilities toward the maritime security effort, and instruct as much in their own Task Instructions. Upon receipt of the PSPF Task Instructions, ports and port facilities will examine the requirements, and perform their own planning in support of the overall maritime security mission. On their part, ports and port facilities may also promulgate Task Instructions to their staff.

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

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

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

³ Respective Economies will need to draw parallel to this arrangement



23. Planning

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

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

24. Plan

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

25. Time-Table

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

26. Briefings

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

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



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

27. Exercise Initiating Conditions

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

28. Scenario Synopsis

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

29. Injects

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

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



30. **Exercise Time**

- a. The time frame played during an exercise is usually fictitious, reflecting the events in the scenario and/or Master Events List.

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

31. **Command, Control and Communications**

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

32. **Termination**

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

- a. Safety is compromised – Where the safety officer(s) or controller(s) observe that safety has become a concern, they should halt the exercise to address the concerns, and re-commence only when they are satisfied that the issues have been resolved satisfactorily.

- b. Difficulties or unforeseen events faced by controllers and/or participants in the conduct of the exercise – Any number of concerns or challenges may arise during the conduct of the exercise to warrant its suspension or termination.



DEBRIEF

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

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

REPORTS

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

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

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

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



RECORDS

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



RESPONSIBILITIES OF THE EXERCISE DIRECTOR

1. The Exercise Director is usually a highly-placed individual appointed by the exercise convener viz. the authority or lead agency that determines the requirement for the exercise.

2. The Exercise Director is in overall charge of the exercise and is the final authority on all matters pertaining to the exercise. He is responsible for the controllers in planning for the exercise, and the controllers and participants in the conduct of the exercise. In addition, he shall:

- a. Determine the exercise objectives
- b. Determine the participating organizations
- c. Approve the exercise schedule
- d. Coordinate with personnel in key leadership positions for participation by the identified organizations
- e. Approve the controllers and participants
- f. May act as the lead agency's representative in approving the plans developed during the exercise by the participants
- g. Be the sole arbiter of scenario developments should there be any doubts over the direction of the exercise
- h. Be the sole arbiter in any conflict resolution
- i. Manage the media exposure for the exercise on behalf of participating organizations



RESPONSIBILITIES AND TASKS OF CONTROLLERS

1. Any activity benefits from good management, and an exercise is no different – in order to ensure success, it must be properly managed. Therefore a manager or team of managers must be assigned to plan and conduct the exercise. In training parlance, they are generally known as Controllers, and the head of the team is known as the Chief Controller.

2. Controllers are responsible to undertake the following:
 - a. Plan the scenario for the exercise
 - b. Identify the control team members and the participants
 - c. Work out the time-table for the exercise
 - d. List the injects or events that will take place during the exercise, relating each inject or event to a specific objective to be achieved or the development of the scenario for the exercise
 - e. Arrange for the logistics and other resources such as communications, etc. for the conduct of the exercise
 - f. Brief the participants on the nature, objectives and required attainments for the exercise
 - g. Conduct the exercise by initiating and developing the scenario using the injects so that participants may respond
 - h. Prepare and issue the initiating Preliminary Instructions for the operations/tasks
 - i. Prepare and issue the Task Instructions for the operations/tasks
 - j. Identify areas for improvement in procedures, materials or resources for the performance of the maritime security task that is the subject of the exercise
 - k. Identify initiatives, good work and deficiencies in the performance of the participants
 - l. Terminate the exercise at the end of the scenario or when the objectives have been achieved



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



RESPONSIBILITIES AND TASKS OF PARTICIPANTS

1. Participants refer to those personnel and teams who are the subject of the exercise i.e. they are the ones being exercised. There may be more than one level of participants in the hierarchy of an organization, subject to the scale of the exercise and the scope of the organization's involvement in it. Each level will be required to plan operations or tasks assigned to the organization, and these plans are subsequently issued to the next subordinate level in the form of instructions, for execution. Prior to execution, the level receiving the plans may be required to plan in further detail if they in turn have subordinate forces or entities to distribute instructions to.

2. Participants will, during the exercise:
 - a. Organize themselves to plan all aspects of an operation or task assigned to them and their respective subordinates. This will involve:
 - (1) Intelligence
 - (2) Operations
 - (3) Logistics
 - (4) Administration
 - (5) Communications

 - b. Attend briefings convened by their higher authority to receive their orders and instructions for the tasks they are assigned.

 - c. Analyze the orders or instructions received.

 - d. Plan their operation or task using a systematic planning process.

 - e. Obtain approval of their plan from their relevant authority.

 - f. Prepare a written Operations Plan or Task Instruction.

 - g. Brief their subordinate forces on the task being assigned to them.

 - h. Promulgate the Operations Plan or Task Instruction.

 - i. Command and control their forces in the execution of the plan, in a tabletop simulation or full scale or live activity.

 - j. Provide feedback on lessons learnt from the exercise from the participants' perspective.



INITIAL PLANNING CONFERENCE

AGENDA

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

**EXAMPLE MASTER EVENTS LIST**

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



1706	1700	Designated Authority orders increase of Security Level from Level 1 to Level 2	<u>Tabletop simulation</u> : Messaged instructions passed from participants to lower controllers to direct the actions to be taken to comply with the increase in Security Level <u>Full scale or live</u> : Actual deployments of forces, personnel and equipment to attain the planned measures for Security Level 2	Operations control room
1707	1730	Issue of exercise scenario synopsis no. 2 - An intelligence report is received of a terrorist threat to conduct large scale attacks using all means at their disposal to disrupt the economy by targeting shipping	Dissemination of the intelligence report	Respective operations cells
1707	1800	Issue of Task Instructions	Participants commence planning for their respective operations/tasks	Conference room
1801	0200	Participants present their plans	Depending on the command and control relationships, plans may either be approved or noted	Conference room
1802	0400	Forces are deployed	<u>Tabletop simulation</u> : Messages passed between participants and lower controllers to simulate deployments <u>Full scale or live</u> : Actual deployments	Operations control room
1803	0830	Port Facility JKN reported that they had intercepted a van with a suspected bomb in a package attempting to enter the Port Facility to make a delivery to a ship alongside. The deliveryman had invalid documentation.	<u>Tabletop simulation</u> : Messages passed between participants and lower controllers to simulate deployments e.g. of a National Guard bomb squad <u>Full scale or live</u> : Actual deployments	Respective operations cells



1804	1000	Designated Authority orders increase of Security Level from Level 2 to Level 3	<u>Tabletop simulation</u> : Messaged instructions passed from participants to lower controllers simulating actions to be taken to comply with the increase in Security Level <u>Full scale or live</u> : Actual deployment of forces, personnel and equipment to attain the planned measures for Security Level 3	Operations control room
1805	1100	Passenger Terminal DEF reports that its central database computer has been hacked into and immigration clearance of passengers has been delayed, causing a large number of passengers to be stranded ashore and waiting in the terminal to return to their ship	Passenger Terminal DEF should increase efforts at security screening.	Operations control room Respective operations cells
1806	1200	Passenger Terminal DEF reports that a suicide bomber had been apprehended after he charged into the crowded terminal and attempted to blow himself up, but the bomb failed to explode	Bomb threat response procedure should be activated by participants	Operations control room Respective operations cells
1807	1600	All participants report that they are operating at Security Level 3		Conference room
1808	1700	Exercise end	Dispersal of personnel and equipment as planned	



Notes:

Serial Numbers

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

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



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

INTRODUCTION

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

AIM

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

SCOPE

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

PARTICIPATION

4. *The Exercise Director is Mr. YHB, Chairman, Designated Authority.*
5. *Exercise Planning and Control Team*
 - a. *Chief Controller – Capt. TGY, Coast Guard*
 - b. *Operations Controller 1 – Cmdr. YHN, Coast Guard*
 - c. *Operations Controller 2 – etc.*
6. *Participants*
 - a. *Coast Guard HQ, HYT Harbor*
 - b. *Coast Guard Unit 35*
 - c. *National Guard detachment NH3*
 - d. *Police, represented by Supt. RDT*
 - e. *HYT Port 4, represented by Mr. FVG*
 - f. *THB Storage PLC (Port Facility), represented by Mr. GBH*
 - g. *HJN Power PLC (Port Facility), represented by Mr. RDA*



CONVENING ADVICE

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

ADMINISTRATION AND LOGISTICS

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

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

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

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

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

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

Signed

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



EXAMPLE COMMUNICATIONS PLAN

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

**CODE WORDS**

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

CODE WORD	MEANING
Exercise <i>Open Seas</i>	Exercise name (example only)
Exercise Start	The exercise is to commence
Exercise Hold	The exercise is temporarily suspended
Exercise Go	The exercise is to resume from where it was suspended
Exercise Abort	The exercise is to be terminated (prematurely)
Exercise End	The exercise is completed
For Exercise	The message or statement that follows this preamble relates to the exercise only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the exercise e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."



ROLES AND FUNCTIONS OF AN EXERCISE SAFETY OFFICER

1. To examine the plans for the exercise and perform a safety risk assessment check on the proposed events, injects and probable actions and their outcomes.

2. To endorse the plans after having been satisfied of their safety

3. To be present at the scene of action where the safety risk is assessed to be highest at any point during the conduct of the exercises to monitor the safety situation

4. To advise the Exercise Director of any potential breaches of safety

5. To intervene immediately if it assessed that safety is likely to be compromised by any of the ensuing action



EXAMPLE FORMAT FOR AN OPERATIONS PLAN/TASK INSTRUCTION

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

References:

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

ORGANISATION

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

INTRODUCTION

2. Background

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

3. Threat

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



4. **Operating Area**

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

5. **The Threat**

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

6. **Own Forces**

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

OPERATION OR TASK

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

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

METHOD

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



10. **Task Table**

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

11. **Rules of Engagement**

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

12. **Supporting Operations**

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

13. **Coordinating Instructions**

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

SUPPORTING SERVICES

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



COMMUNICATIONS

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

Signature block

Annexes:

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

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



EXAMPLE OF AN OPERATIONS PLANNING TIME-TABLE

GIVEN: 12 hours to expected commencement of mission

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



Volume II - Part 2

MARITIME SECURITY EXERCISES



CONTENTS

SECTION	EXERCISE	TITLE
1	Principal Exercises	
	PE11	State Maritime Security Exercise
	PE12	Port Facility Security Plan Exercise
2	Port Facility Exercises	
	FE21	Response to Security Threats
	FE22	Handling Unauthorized Items
	FE23	Unauthorized Access
	FE24	Cargo and Ships' Stores
	FE25	Interfacing with ship security activities
	FE26	Security Incidents



INTRODUCTION

Exercises emphasize management-level competencies in planning, command, control, coordination and communications. Port Facility exercise planners should also recognize that exercises are intended for the higher echelons of organizational activity, and therefore should seek opportunities to involve, or be involved in exercises by state agencies or authorities, as well as engage other related entities, such as port authorities, ports, other port facilities and ships.

This manual is a collection of exercises that may be conducted by a Port Facility using the guidelines provided. The guidelines for each exercise are designed to be stand-alone i.e. they may be extracted, read and used to plan and conduct the exercise independent of any other instructions or guidelines, aside from each organization's security plans and internal regulations, and a considered review of the lessons learnt from previous exercises. However, it is suggested that managers responsible for the planning and conduct of exercises should be familiar with Part 1 of this Manual, the Guidelines for the Conduct of Port Facility Security Exercises.

The exercises are pegged at two levels: Principal Exercises are envisaged as comprehensive large scale exercises designed to facilitate the understanding of Port Facility participants in State-sponsored maritime security exercises, as well as provide a platform for the review of the Port Facility Security Plan in an exercise environment. Port Facility Exercises serve to practice, test, evaluate and validate the measures and processes of a Port Facility relating to specific threat scenarios and meet the need for periodic reviews in light of changing circumstances such as the threat and political profile, business environment and organizational changes.

Port Facilities may exercise their discretion on the types of exercises they conduct from this manual. As Port Facility security managers become familiar with planning and conducting these exercises, drills may be readily incorporated into the exercise scenario to maximize the benefit from the conduct of the training event.

Events or "injects" in the Master Events List for each exercise are not meant to be exhaustive. They are designed as examples upon which many more injects should be generated by the EPCT during the exercise planning stage. Such injects could then be written in context with, and specific to the local conditions at the Port Facility.



SUMMARY OF EXERCISES

EX NO.	TYPE	PHASES			
		I Demonstration	II Planning	III - Execution	
				Tabletop Simulation	Full Scale or Live
PE11	State Maritime Security Exercise	-	Mission planning by State security forces, customs and immigration, maritime agencies and industry participants	Controller injects from Master Events List, and responses by participants via messaging and other forms of communication	-
PE12	Port Facility Security Plan Exercise	-	Full review of the PFSP, or address changes not updated in PFSP		Drills may be incorporated



EX NO.	TYPE	PHASES			
		I Demonstration	II Planning	III - Execution	
				Tabletop Simulation	Full Scale or Live
FE21	Response to Security Threats	-	Discussion on Port Facility's perceived threats and responses to those threats	Controller injects from Master Events List, and responses by participants via messaging and other forms of communication	Drills may be incorporated
FE22	Handling Unauthorized Items	Demonstration of unauthorized items by State security agency, including weapons and explosives	Planning of preventive measures and responses		Drills may be incorporated
FE23	Unauthorized Access	-	Planning of preventive measures and responses		Drills may be incorporated
FE24	Cargo and Ships' Stores	-	Meeting of external and internal stakeholders to discuss threats to cargo and ship stores, preventive measures and responses		Drills may be incorporated
FE25	Interfacing with ship security activities	Demonstration of ship security systems on board a ship	-		-
FE26	Security Incidents	-	Compilation of the Master Events List by controllers constitutes the planning phase		Drills may be incorporated



Section 1

Principal Exercises

A maritime security exercise conducted by state authorities is an ideal vehicle by which a Port Facility may gain exposure and familiarization of the maritime security environment and operations at the macro-level. The Port Facility itself may not need to participate in such an exercise, as the attendance or participation of the Port Facility Security Officer in itself technically constitutes compliance with the ISPS Code requirements for an exercise. Port Facilities should thus seize any opportunity to participate in such exercises, and contracting states should make it a point to organize such exercises and encourage participation by Port Facilities because the complexity, resources and in particular, the participation of state agencies, is usually beyond the scope and capability of individual Port Facilities to orchestrate. The inclusion of guidelines for such an exercise in this Manual for Port Facilities is to provide an idea of the scope and nature of such exercises, and may also be used to guide state agencies in the organization of such exercises.

It is envisaged that the most beneficial manner in which a Port Facility may participate in a state maritime security exercise, apart from compliance with the events and demands of the exercise, such as practicing the measures for a change in Security Level, is for the Port Facility to take the opportunity to review its Port Facility Security Plan. While it is essentially a planning process, this in itself constitutes a principal exercise for the scope and coverage expected. Guidelines for the processes are thus incorporated in this Manual as an exercise.

EXERCISE	TITLE
	Principal Exercises
PE11	State Maritime Security Exercise
PE12	Port Facility Security Plan Exercise



Exercise	PE11
Category	Principal Exercises
Type	State Maritime Security Exercise
Security Level	1 and 2
References	1. APEC Manual of Maritime Security Drills and Exercises Vol II Part 1 – Guidelines for the Conduct of Maritime Security Exercises 2. ISPS Code Part A section 18.4 and Part B section 18.6

INTRODUCTION

1. The pursuit of maritime security at the State level involves a large number of organizations that contribute to the security of the sea and its littorals, where port facilities are situated. These include the port authority, police, customs and immigration, territorial army (reserves), coastguard, navy, maritime air forces, and members of the maritime industry. The specific nomenclature of the organizations may be different in each country, but the functions they perform or serve are often similar. Some may not even have the organizations referred to, but their duties are usually absorbed by one or another of the standing forces.

2. Conducting an exercise involving all these entities is a major undertaking. If possible, a State agency with natural authority over the potential participants may be the lead agency for such an exercise, for example, a State organization with responsibility for counter-terrorism coordination across State agency boundaries. Otherwise, the State authorities individually responsible for maritime security, including the littorals, may coordinate with a view to nominating the lead agency. The challenges may be reduced by beginning with a few agencies participating at first, progressing over a period of time to an all-encompassing exercise with all relevant agencies involved.

3. These guidelines are prepared as a tabletop simulation exercise, and involve a scenario that would be applicable to the range of participants mentioned in paragraph 1.

AIM OF THE EXERCISE

4. The aim of this exercise is to practice the coordination demanded in a multi-agency response to a maritime security threat.



OBJECTIVES

5. The objectives of this exercise are to:
 - a. Undertake a methodical process for the development of operational plans in the prosecution of a maritime security threat.
 - b. To practice the command, control, coordination and communications relationships and procedures in the prosecution of a maritime security threat by State forces.

REQUIRED ATTAINMENTS

6. On completion of the exercise, a written operation plan for the maritime security task is to be prepared by each participating organization for execution by their respective forces, in support of the overall task.

PLANNING FOR THE EXERCISE

7. **Timetable**

With an exercise involving a large number of diverse participants, the exercise should be scheduled, and participants notified of the dates at least a year in advance. Preparations for the exercise should commence well in advance of the date of conduct, with at least 6 months lead time allowed for coordinating exchanges between the convener and participants. An example of a time-table for the preparation and conduct of this exercise is given in [Appendix 1](#).

8. **Exercise Planning and Control Team**

a. Exercise Director

The Exercise Director is likely to be a senior officer from the State lead agency. A suitable level of experience and competence in the field will be necessary to lend not just expertise, but diplomatic leadership and management of both the exercise controllers as well as exercise participants.

b. Control Team

- (1) The control team should comprise representatives from all participating entities. However, the desire for comprehensive representation should be tempered by the potential challenges of a large and unwieldy EPCT. Organizations of the same type, e.g. ports and/or port facilities could be represented by a group representative instead of a



representative each. Some organizations may welcome such an arrangement, as they may otherwise be unable to support the EPCT with staff. The aim would be to manage the exercise with an adequate EPCT.

(2) The Chief Controller may be a senior officer from one of the State security services, usually the lead agency. Personnel from these agencies would be familiar with the systematic planning processes usually employed in operational planning.

(3) **Higher Controllers**

Higher controllers may be nominated from the key State agencies (Coast Guard, Police, National Guard or volunteer home defence paramilitary force, Customs and Immigration, Designated Authority, ports authority, etc.) and stakeholders (ports, port facilities, shipping companies, etc.) for positions in the following areas of responsibility:

- (a) Operations
- (b) Intelligence
- (c) Logistics
- (d) Human Resources
- (e) Communications
- (f) Industry stakeholders

(4) **Lower Controllers**

When the exercise is conducted as a tabletop simulation during its execution phase, the various entities responsible for the implementation or execution of the plans, orders and instructions developed during the exercise would be represented by lower controllers. These will come from the operational level personnel of the agencies and stakeholders mentioned in the plan.

(5) Forces to act as the threat or adversary should be assigned from the most appropriate State agency as described in the scenario. In a tabletop simulation exercise they will participate as lower controllers, and if a combat simulator is to be used to enhance the execution phase, as operations room crew in the simulator.

c. Participants

Participating organizations should be requested to nominate senior management-level personnel who will be responsible for planning the tasks to be undertaken by their respective organizations.



9. **Resources**

a. Location

- (1) Planning/control room(s) for controllers.
- (2) Planning Rooms for participants – Each organization should have a separate planning room, if possible.
- (3) Control Room or Operations Room for the execution phase of the exercise - The lead agency may have a control or operations room, and this should be used by the top-level participants to direct and monitor the proceedings. In a tabletop simulation exercise, participants at the next level down, who are likely to be grouped in their respective organizations, could use their planning rooms to direct and monitor their respective “forces” (simulated by lower controllers). They should have facilities for the compilation of the situational picture as the scenario unfolds. Consideration may be given to having participants dispersed to their respective operations centers to direct and monitor their own forces from there. However, the coordination and communications challenges for the exercise controllers will be significantly increased. Where actual control or operations rooms are used, care should be taken to ensure there is no interference or confusion with normal actual operations
- (4) Conference Room for the presentation of plans, etc.

b. Communications

(1) **Equipment**

(a) Wherever possible, actual communications means between participants and their respective forces to enable them to direct and monitor their forces should be employed. In a tabletop simulation exercise, the subordinate forces would be represented by Lower Controllers (from the same organization).

(b) If a temporary exercise control room is set up for the respective organizations, adequate communications facilities must be made available in the control room to represent the normal means these organizations would have at their disposal. Irrespective of the degree of communications simulation employed in the exercise, a comprehensive communications plan should be included in their operations plans/orders.



(c) Communications must also be provided between higher controllers and lower controllers, and between controllers and participants.

(2) **Code Words**

Code words are used to provide brevity and clarity in communications during the conduct of an exercise, and must be promulgated to all controllers and participants.

(3) **Security**

Consideration should be given to the possible disclosure of confidential information 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. This will include consideration for secure communications means.

c. Other requirements

(1) Equipment for the planning phase

(a) Local charts, maps and layout plans should be used for the sake of realism, with simulated features (such as boundaries) and facilities (such as ports, port facilities, etc.) marked as appropriate to the narratives. Should geographical features not be suitably situated, the narratives could be adjusted accordingly.

- (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

CONDUCTING THE EXERCISE

9. Scenario

A scenario synopsis or narrative will be issued to set the stage for the planning process. In this exercise, participants play their roles as citizens of a fictitious country Cepaland, which is beset by security concerns, particularly of a maritime nature, from an unruly neighboring country called Phoney. Amid general lawlessness in Phoney, a threat of a state sponsored and bandit attacks on Cepaland maritime interests emerges, and the State is obliged to plan and implement countermeasures. Further narratives will be issued to advance the scenario as the exercise unfolds. Examples of narratives are given in [Appendix 2](#).

10. Initiating Directive

The planning process to meet the security challenges posed to Cepaland in the scenario is initiated by the issue of an Initiating Directive by the lead agency, which specifies the tasks to be undertaken in broad terms, to be focused in the planning by the respective agencies. The initiating directive is given in [Appendix 3](#).

11. Planning Process

- a. Various procedures are available that provide a systematic framework for planning a task or operation. State security agencies will have proprietary systematic planning processes to develop their plans against the threats.
- b. The planning may take place over a period of one day, on completion of which a written operations plan should be prepared and presented to an appropriate authority, which is likely to be from the lead agency, for formal endorsement. Plans developed must be:
 - (1) Suitable – They must meet the requirements of the task, and provide a reasonable response to the threats.
 - (2) Acceptable – They must be accepted from a personnel and organizational culture perspective.



- (3) Feasible – The plans must be realistic and achievable.

12. Master Events List

- a. A generic Master Events List for this exercise is given in [Appendix 4](#). This Master Events List reflects the bare minimum of injects required and is provided as an example of a possible scenario that may be played in an exercise. Exercise planners from each participating organization must develop their respective scenarios fully and should add to or delete the injects/events in the list as required. The exercise objectives must guide the development of injects at all times. Injects should not overwhelm participants so that the exercise objectives are subverted by random “noise”.
- b. The Chief Controller should monitor the development of the plan by the participants closely, and be prepared to introduce injects to test any new operational plan or initiatives formulated during the planning stage. These new injects should be incorporated in the Master Events List.
- c. In general, injects should seek to test:
 - (1) Command, control and coordination procedures and processes
 - (2) Communications channels and procedures.
- d. Some topics that may be considered for injects that test command, control, coordination and communications are:
 - (1) Pre-emptive action to alleviate the maritime security threat.
 - (2) A lack of, or uncertainty over intelligence reports on terrorist activity.
 - (3) Preparations and reinforcements in advance of a potential maritime security threat.
 - (4) Prosecution of a specific threat to maritime security.
- e. The dates and times reflected in the Master Events List are exercise dates and times. Actual dates and times will be determined by the Controllers when planning for the exercise.
- f. During the execution phase of a tabletop simulation exercise, injects from the Master Events List are issued by the Chief Controller to be acted upon by the participants. When the participants need to have some action carried out by a subordinate unit or individual e.g. security guards stationed at the entrance to the Port Facility, they are to message the instruction to the lower controller, who will



then respond in appropriate time on the outcome of the action. This response should be consistent with the overall objective of the exercise and specific purpose of the inject.

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 the nature of the 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) Operational brief, to include the task assigned to the respective organizations.
- (5) Issue of narrative no.1 and operations orders.

CONCLUDING THE EXERCISE

14. The exercise is deemed to have been completed when:

a. The operations plans against the maritime security threats prepared by each participating organization are endorsed and printed following any adjustments after the formal presentation for endorsement.

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

c. The Exercise Director so decides.

15. Debrief

a. Debriefs by respective organizations or forces should be conducted as soon as possible after the exercise. 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. Lessons learnt and other observations that may be relevant to the overall task should then be tabled at the main exercise debrief for consideration.

b. The overall exercise debrief will be conducted after the various participating organizations have completed their internal debriefs. This may be conducted at a later date, as it allows time for reflection on the events and outcomes, but not so late as to become lost in “business-as-usual” activity. A later date may also result in scheduling difficulties. Generally, an interval of one or two days should be adequate.

c. The Chief Controller should conduct the debrief. Minutes of the debrief should be recorded, in particular the lessons learnt and any follow-up actions and recommendations.

16. Reports

A formal report on the exercise should be prepared. It may be endorsed by the Exercise Director and a copy circulated to all participants. If necessary, abridged versions may have to be circulated to some participants owing to security considerations on the contents. The report should cover the following:

- a. Introduction
- b. Exercise aim and objectives
- c. Controllers and participants
- d. Schedule for development and conduct
- e. Format and brief review of the proceedings
- f. Lessons learnt
- g. Recommendations
- h. Follow-up actions



17. **Records**

Individual organizations will make an entry in their respective records of their conduct and/or participation in the exercise in respect of their obligation to the ISPS Code. The following is an example of such an entry in a participating Port Facility's ISPS Drills and Exercises Record Book:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
	<i>Exercise</i>	<i>State maritime security Exercise "Open Seas"</i>	<i>The Security Manager and PFSO participated in planning and tabletop simulation against a maritime security threat</i>	<i>PF/101/08-PE11 dated xx/yy/zzzz</i>



PE11 TIME-TABLE FOR PLANNING

DAYS TO EXERCISE	DATE	EVENT	CHECK
D -365+		Determination of the lead agency for the exercise	
D -365		Lead agency promulgates exercise proposal and schedule to potential participants, inviting participation	
D -335		Lead agency promulgates the exercise concept and seeks participants' nomination of the level and scope of participation from each	
D -305	(calendar	Consultations for, and confirmation of the exercise schedule	
D -210	dates to be	Coordination for nominations and selection of the Exercise Planning and Control Team (EPCT)	
D -180	inserted)	Convene the initial planning conference	
D -150		Conduct exercise planning conferences to: - refine or define the scenario and narratives - adjust or develop the Master Events List - prepare the exercise administration and logistics requirements	
D -60		Consultations for, and confirmation of the participants	
D -30		Promulgate the Exercise Administrative Instructions	
D -21		Brief the controllers	
D -14		Administrative, logistics and site preparations, final adjustments by controllers, printing of exercise documents (orders, narratives, etc.)	
D		Exercise commencement: Brief the participants: - exercise administration and logistics - scenario and task orders - issue of written operations orders and narratives	
D to D +1		Exercise planning phase	
D+1 to D+2/3		Exercise execution phase	
D +7		Conduct the debrief and record the lessons learnt and follow-up actions	
D +8		Participants to record the conduct of the exercise	
D +30		Lead agency to promulgate a written report on the exercise	



PE 11 SCENARIO SYNOPSIS

These narratives define the scenario in which the exercise may be played.

All participating agencies should have forces assigned to the exercise based on the scope of the scenario, whether they are mentioned specifically in the narratives or not, as they will play a part in the development of the operational plan against the envisaged threat. The actual type and numbers of forces played will have to be specified by the EPCT.

Exercise participants are from “Cepaland”.

NARRATIVE NO. 1

Introduction

1. *Cepaland is a peaceful, stable and prosperous kingdom run by a benevolent ruler who is much loved by his people. Apart from its substantial coastline, Cepaland is completely surrounded by a single neighbor, Phoney. Nominally a parliamentary democracy, Phoney has a former army strongman as President. Feudal warlords operate fiefdoms in the provinces, there is endemic corruption, and brutal repression is resorted to by the police and military as a means to maintaining power for the President. The agricultural country was once a major producer and exporter of rice, but civil strife has made it economically backward and the majority of its people now live in poverty. Relations between the two neighboring states are cordial, but with little influence by the central government of Phoney, the border is a hotbed of rebel activity, and Cepaland has its hands full in the border region, with refugees and illegal immigrants from Phoney among the major concerns of the government.*

2. *An international shipping lane is marked on charts as passing close by the Phoney coastline, but robbery at sea is commonplace near Cepaland’s sea border with Phoney, and shipping usually take a wide detour around the coastline of Phoney, outside the range of the petty thieves operating with speedboats. However, shipping to Cepaland occasionally encounter armed personnel in uniforms far out at sea operating from military vessels, and have to make deals with them. Sea robbers make occasional raids on installations and enterprises along the Cepaland coastline, but are reasonably effectively deterred by Cepaland’s maritime security arrangements.*

3. *Of late, the rise of a “robber baron” (RB) with political aspirations in Phoney has been a significant concern. With his drug-based operations along the vast and thinly populated region near the coastline between Phoney and Cepaland’s northern border, the*



RB sees Cepaland as a lucrative target, and believes that if he can terrorize and subjugate parts of Cepaland successfully, it will win him many followers in Phoney. Operating with a mercenary band of thugs and thieves, the RB has whipped up religious fervor against Cepaland society as a means to get recruits to undertake terrorist attacks such as suicide bombings and other terrorist tactics as a means to achieve his ends.

4. *Cepaland has an elected legislature from which the cabinet is selected, but the ruler remains head of government. It is run with an iron hand that brooks no interference with government policies and programmes. However, these policies and programmes are generally beneficial to the economy and the people, and the country has prospered under the able leadership of its ruler, acting in concert with the prime minister and his cabinet. While the people are well-off in relation to their neighbors, there is an undercurrent of despair because of a significant rich-poor divide, and the average person generally has to work long and hard to attain the much-trumpeted quality of life in the country. Moreover, the structure of the electoral process has led to charges internationally that it is less than democratic, and despite the economic prosperity and well-being of the people, there is some resentment among the educated elite over the lack of political choice and freedom. Furthermore, the religious minority in Cepaland have begun to notice and in some ways respond to the RB's call to their religious beliefs.*

Security Situation

5. *A Cepaland coast guard vessel was directed to respond to an SSAS alert initiated on (date: D -90) from a tanker crossing from Phoney to Cepaland territorial waters and encountered a Phoney military vessel alongside the tanker with a few armed uniformed personnel embarked. As the tanker was 5nm inside Cepaland territorial waters, the coast guard warned the Phoney vessel to clear off. In response, the Phoney vessel fired upon the coast guard vessel, and in the ensuing firefight, the Phoney vessel was sunk. It was subsequently determined that the tanker had been boarded in Phoney territorial waters and had drifted into Cepaland waters while the boarders were negotiating with the tanker on the price for its release. The Phoney government issued a protest, and demanded exorbitant compensation.*

6. *Cepaland intelligence services established that Phoney was making preparations for a limited military response. Two patrol boats from the Phoney Navy have been seen in base being loaded with live ammunition and other supplies. Some Phoney lawmakers from a religion-based political party have been reported to be encouraging the RB and local criminals to exact revenge on Cepaland. Later reports indicated that with his new found status under state sponsorship, the RB has begun making plans to attack Cepaland maritime facilities on a broad front with the declared aim of avenging the "sinking of our patrol boat and the murder of our loyal naval comrades". This has been dismissed in both Cepaland and some quarters in Phoney as merely a front, because the RB was at the same time sending feelers out to Cepaland companies in the area, including Humbug port, to extort a fee in return for protection against terrorist acts.*



7. *On (date: D -30), an unattended parcel was discovered in a Cepaland cruise liner terminal containing an improvised explosive device that had failed to explode. The incidence of robberies at sea near the border with Phoney had also increased dramatically over the last month, and shippers are demanding protective escorts by the Cepaland coast guard. Freight insurance rates went up to new highs when 2 cargo vessels were hijacked and subsequently traced to remote rivers in Phoney where their cargo was removed by barge. Raids on ships in the Cepaland port of Humbug near Phoney have also become a constant nuisance. All of them were carried out by thugs operating from speedboats. The thugs were always paid off by the ships crew, and no injuries had been sustained to date.*

8. *Port Facilities have begun to report cases of suspected surveillance being carried out on their premises and operations, with unidentified boats passing close to single-buoy moorings and other oil and fuel handling facilities. On (date: D -14) one of the 3 container cranes at Humbug port was made unserviceable by a short circuit, leading to a meltdown of the main power cable. There was a small fire as a result of the overheated cable, which was quickly put out. The cause of the short circuit has not been established, but Humbug port officers say that the cranes had been operating without mishap ever since they were commissioned.*

9. *Three days ago, the shipping agent reported that MV Fireball, a 7000 dwt tanker carrying a cargo of petrol (benzene) for the local market was hijacked and has disappeared. The port authority and ships reported receiving a brief distress call on the radio that was cut short, and nothing had been heard since. No warning was received from the SSAS, but the Cepaland maritime authority managed to trace the tanker to one of the rivers in Phoney used by sea robbers to hide the 2 ships seized earlier. However, unlike those ships, there is no indication of the cargo being removed from the MV Fireball, and Cepaland intelligence reports suggest that there is a high probability of the tanker being used as a weapon of mass destruction against a Cepaland port.*

Cepaland Intentions

10. *Cepaland has been reasonably successful in containing the sea robbery problem in her ports and waters, and has been holding off increasing the Security Level despite the increase in such attacks, but the intelligence reports of the potential threats could not be ignored any further, and announced on (date: D -1) that Security Level 2 is declared.*

11. *Cepaland intends to defend its sovereign property vigorously against both terrorist activity and Phoney military forces should that threat emerge. The National Security Minister has called on the coordinating agency for national security to plan a response to:*

- a. *The Phoney military threat represented by the patrol boats.*



- b. The possibility of the tanker laden with petrol being used as a weapon of mass destruction against a Cepaland port.*
- c. A suicide bomb attack and possible hijacking of a cruise liner at Humbug port.*
- d. Terrorist attacks, including vehicle and vessel bomb attacks on Cepaland port facilities and military bases within easy reach of the Cepaland-Phoney border.*



NARRATIVE NO. 2

1. *The security situation has now become critical, with the threat of terrorist attack increasing dramatically. All key installations in Cepaland have increased or are in the process of increasing their Security Level measures to Level 2, but owing to political sensitivities, the Designated Authority has yet to order ports and port facilities to implement Security Level 2. Military forces have stepped up their readiness and their logistics preparations are proceeding steadily.*

2. *Militants yesterday destroyed a Cepaland police checkpoint set up at Humbug Ferry Terminal 2, killing 7 people and injuring 15. Five soldiers were among the dead. Witnesses say a small car drew up to the checkpoint and as the driver came out to open the boot for inspection, he ran away and the car exploded.*

3. *The Cepaland government today ordered the Navy to seek and capture or destroy the hijacked tanker MV Fireball. The Navy is to maintain sufficient forces in the area of operation in order to defend against an attack by the Phoney Navy, but a pre-emptive attack on Phoney naval forces in the area is deemed unacceptable, as it will draw too much flak internationally.*

4. *The Coast Guard is to implement their defence plan should the tanker enter Cepaland territorial waters. All plans reviewed or developed in response to the latest maritime security situation are to be implemented.*



PE11 INITIATING DIRECTIVE

SITUATION

1. *Cepaland is under grave security threat from Phoney. While our international relations with Phoney remain stable, Phoney is believed to be planning an attack in revenge for the sinking of their patrol boat that was robbing a tanker bound for Humbug port. Another tanker, MV Fireball loaded with petrol (benzene) has disappeared, and our intelligence reports indicate that it may be fitted out as a floating bomb to cause massive destruction in one of our port facilities. At the same time, robberies at sea near our border with Phoney and other maritime security incidents in our ports have increased substantially.*

INTENTIONS

2. *Cepaland will defend the safety and security of our people and property, and sovereignty of our country vigorously. Your task is to plan integrated operations, where appropriate, for the defence of Cepaland interests.*

TASKING ORDERS

3. *The lead agency for the defence of Cepaland is the National Security Ministry, and the lead authority shall be the Chief of the General Staff. All State agencies and organizations shall be required to support each other in their tasks when called upon.*

4. *The following are the lead agencies to plan for the tasks indicated:*

*a. **Navy***

(1) Seek and destroy Phoney patrol boats threatening Cepaland sovereignty.

(2) Seek and take MV Fireball into custody.

*b. **Coast Guard***

(1) Defend Cepaland territorial waters against Phoney Navy incursions.

(2) Defend Cepaland ports against possible attack by terrorists on board MV Fireball.



(3) *Defend Cepaland against maritime security threats (this is a universal task for the Coast guard, but is included here for methodical reasons).*

c. Customs and Immigration Authority

(1) *Maintain vigilance.*

(2) *Support the Coast Guard if required.*

d. Designated Authority

(1) *Direct ports and port facilities to review their PFSPs.*

(2) *Coordinate the security efforts of the shipping industry (ship owners, ship operators, ship agents, ports and port facilities).*

e. Ports and Port Facilities

(1) *Respond promptly to directives on the Security Level.*

(2) *Maintain strict vigilance.*

**PE11 MASTER EVENTS LIST**

SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
<i>Date: D day</i>				
001	0800	Chief Controller	Exercise briefing	Attend
002	0900	High Control	Issue of Narrative No. 1	Review security plans and report actions for increasing Security Level measures to Level 2.
003	1430	High Control	Issue of Initiating Directive	Commencement of planning phase Participants plan for their respective tasks
004	1500	High Control	Intelligence reports that some Phoney special forces soldiers have been overheard in a pub joking about being seasick on an impending trip, and assesses that special forces may be embarked for a raid by Phoney naval forces.	Navy/Coast Guard participants to factor into operations planning
005	0930	State lead agency	Endorsement of respective participants' plans	Participants should present their operations plans to the lead agency/authority for endorsement
006	1500	High Control	Issue of Narrative No. 2	Commencement of execution phase
007	1600	High Control	Cepaland Designated Authority directs all ports and Port Facilities to report all breaches of security	Participants to note
008	1700	High Control	MV Fireball is reported to be sailing out of the river. It will be 4 hours at the earliest before she leaves Phoney territorial waters	Cepaland navy to launch mission against MV Fireball



SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
009	1730	High Control	Intelligence reports that the two Phoney patrol boats have sailed their base, destination unknown	To inform units at sea and assess situation
010	1745	Low Control	Port Facility No. 2 reported that two men from an unauthorized vessel approached and boarded their SBM. Port Facility SBM crew arrived just in time to see the men on the SBM before the vessel picked them up and sped off.	Port Facility No. 2 participants to report to Designated Authority and seek clarification from the Port Facility staff
011	1755	High Control	Designated Authority requests information from all vessels in the area of the SBM	All participants to query their units
012	1815	Low Control	Coast Guard vessel near the SBM reported that they saw the vessel but thought they were maintenance crew.	To order search for the vessel
013	1900	High Control	MV Fireball is reported to be sailing away from Cepaland	To request report upon interception
014	1930	Low Control	Port Facility No.1 reported that they found a hole cut in their fence and they are in the process of assessing the situation	Port Facility No. 1 participants to report to Designated Authority
015	2030	Low Control	Port Facility No. 2 SBM crew reported nothing unusual at the SBM	To report
016	2100	Low Control	Humbug port cruise terminal reports 1 cruise vessel, MV Courtship in port for the last 2 days; and 1 more cruise vessel, MV Blackjack presently entering port and leaving tomorrow	Recognize risk of infiltration from Phoney
017	2105	High Control	MV Blackjack is known to be a "casino ship" operating 2-day cruises to regional ports. It is very popular with people from Phoney	To request a report on MV Blackjack's last port of call
018	2115	Low Control	Port Facility No. 3 reported an attempt by an unauthorized truck to enter the Port Facility	To request details of the incident



SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
019	2125	High Control	Intelligence reports that a substantial amount of building material such as plywood boards, timber, nails and paint had been sent to MV Fireball	To consider purpose of the materials (For disguise)
020	2140	Low Control	Port Facility No. 3 reported that the truck was unladen. The security staff did not record details of the truck, and the driver was denied entry because he had no identification	Assess and report to Designated Authority. Coordinate to warn other Port facilities
021	2235	Low Control	Humbug cruise terminal reports MV Courtship sailed	To report
022	2245	High Control	DA has ordered Security Level 2 to be implemented for all ports and Port Facilities	To inform all Port Facilities and vessels in port
023	2300	Low Control	Port Facility No. 4 reported that a ship's SSO refused to sign the DoS because he felt his ship could not comply because it had been maintaining Security Level 1	Advise ship SSO of the consequences and coordinate with ship agent if required
024	2320	Low Control	Ship agreed to raise her Security Level measures to those for Level 2	To determine if measures are acceptable
025	2350	Low Control	Port Facility No. 4 and ship exchanged DoS	To report
026	2355	Low Control	Cepaland naval vessels operating outside Phoney territorial waters have not been able to positively identify MV Fireball	To assess situation and provide direction
<i>Date: D +1</i>				
027	0010	High Control	Intelligence reports indicate that MV Fireball may be trying to reach the international shipping lanes out of Phoney port to blend in with the other shipping traffic	Cepaland Navy to re-assess situation if necessary



SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
028	0025	<i>High Control</i>	<i>The Phoney government announces at a World Health Organisation Conference in Geneva that it has despatched a tanker, escorted by 2 Phoney patrol boats on a humanitarian mission to assist a village on a remote atoll that is claimed by Phoney. The atoll, which has its own indigenous people, was struck by an earthquake a month ago. The atoll is the subject of conflicting claims of sovereignty by both Cepaland and a Big Power.</i>	<i>Navy to coordinate with the Coast Guard in a review of plans against MV Fireball and the Phoney patrol boats</i>
030	0045	<i>Low Control</i>	<i>Coast Guard patrol boat has intercepted one speedboat carrying 5 armed personnel as it was speeding away from a cargo ship engaged in coastal trade</i>	<i>To assess situation and provide direction</i>
031	0100	<i>Low Control</i>	<i>Humbug cruise terminal reports that 6 passengers from MV Blackjack could not be traced after they had left on a city tour organized by the ship, and had to delay sailing</i>	<i>Immigration to coordinate with Police for assistance in locating the missing passengers. Port authority to request search of missing passengers' cabins</i>
032	0140	<i>Low Control</i>	<i>Search of missing passengers' cabin revealed nothing incriminating. MV Blackjack requested ship agent to take custody of the missing passengers' belongings</i>	<i>Ship agent to seek Customs approval to land the belongings. Port Administration and Port Facility to be informed</i>
033	0200	<i>Low Control</i>	<i>MV Blackjack sailed without the 6 missing passengers</i>	<i>Crew and passenger lists to be updated and distributed to the appropriate agencies</i>
034	0205	<i>Low Control</i>	<i>An SOS has been received from MV Courtship together with an SSAS alert</i>	<i>Maritime authorities to authenticate source and relay agency; and seek details from ship agent</i>



SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
035	0215	<i>Low control</i>	<i>Report from the agency handling the city tour for MV Blackjack states that the 6 passengers did not join the tour even though their names were on the tour list</i>	<i>To request relevant agencies to investigate the 6 passengers' whereabouts</i>
036	0230	<i>Low Control</i>	<i>MV Courtship has been located just inside Cepaland territorial waters</i>	<i>Coast Guard to deploy vessels to assist</i>
037	0300	<i>Low Control</i>	<i>Hijackers on board MV Courtship have taken over the bridge and have an unspecified number of hostages in the ballroom</i>	<i>To hand over communications for negotiations with the hijackers to the Coast Guard or other State authority</i>
038	0325	<i>Low Control</i>	<i>Hijackers demand a ransom of US\$30M and safe passage to Phoney for the release of the ship and its passengers</i>	<i>To organize for negotiations and plan a military solution</i>
039	0335	<i>High Control</i>	<i>Cepaland government announces the increase of Security Level to Level 3</i>	<i>All participants to activate plans to implement Security Level 3 measures.</i>
040	0345	<i>Low Control</i>	<i>Report from the Foreign Ministry: President of Phoney has sent a confidential note that Phoney will accept the hijackers and take them into custody</i>	<i>To facilitate ground arrangements for transfer of custody</i>
041	0410	<i>High Control</i>	<i>Navy reports that a tanker, MV Lavared of approximately the same dwt as MV Fireball is heading toward Humbug among other shipping. There is no sign of the Phoney patrol boats.</i>	<i>To search database for further descriptors of MV Fireball and provide information to Navy</i>
042	0440	<i>Low Control</i>	<i>Position of MV Lavared is reported by the Navy ship shadowing her to be within reporting range of Humbug port. Humbug port authority has not heard from MV Lavared</i>	<i>To task Navy ship to signal MV Lavared to contact Humbug port authority</i>



SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
043	0455	Low Control	<i>Details of MV Fireball sent to the Navy ship do not exactly correspond with the external features of MV Lavared, but it is assessed that the differences in the latter could be the result of a quick fabrication job with temporary materials. The Navy ship added that an assessment is difficult on this moonless night, using just their signally lantern as a searchlight.</i>	<i>To direct the Navy ship to stop, board and search MV Lavared. To direct all Naval and Coast Guard patrols to sight and identify all shipping heading for Cepaland ports.</i>
044	0515	Low Control	<i>Navy ship reports that MV Lavared has responded that she is proceeding to Humbug port on a routine port call.</i>	<i>To verify MV Lavared's port call with the Humbug port authority</i>
045	0530	Low Control	<i>Port authority confirms that a MV Lavared is scheduled to call at Humbug port this morning</i>	<i>To check identity description of MV Lavared</i>
046	0550	Low Control	<i>Humbug port authority reports that MV Lavared is a container ship of 10,000 dwt</i>	<i>To direct Cepaland special forces to board by helicopter and arrest MV Lavared</i>
047	0600	Chief Control	<i>End of exercise</i>	<i>Participants to summarize their perceptions of the events</i>



Exercise	PE12
Category	Principal Exercises
Type	Port Facility Security Plan Exercise
Security Level	1 and 2
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Vol II Part 1 – Guidelines for the Conduct of Maritime Security Exercises 4. ISPS Code Part A sections 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, organization, 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 authorized to receive it.

c. Other requirements

(1) Equipment for the planning phase

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



- (2) Equipment for the execution phase will be as per the planning phase, plus standard Control or Operations Room equipment e.g.
 - (a) Status Boards
 - i. Operations status
 - ii. Deployment of forces, teams, personnel, vehicles, vessels, etc.
 - iii. Logistics status (fuel, water, supplies, breakdown & repair, etc.)
 - iv. Personnel status (manning, casualties, etc)
 - (b) Log and Record Books
 - i. Operations Log
 - ii. Communications Log
 - iii. Incident Log
- (3) Victuals and refreshments

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 defenses, 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 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. 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) 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. 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:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
	<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**

DAYS TO EXERCISE	DATE	EVENT	CHECK
D -60	(calendar	Confirm the exercise date Request participation in the exercise	
D -30	dates to be	Confirm budget availability for items and/or services to be employed during the exercise. Review Volume II Part 1 - Guidelines for the Conduct of Maritime Security Exercises	
D -27		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>	<i>X</i>	<i>X</i>	<i>-</i>	<i>-</i>	<i>X</i>	<i>X</i>
<i>Mobile</i>	<i>X</i>	<i>X</i>	<i>X</i>	<i>X</i>	<i>X</i>	<i>X</i>
<i>Marine VHF</i>	<i>X</i>	<i>-</i>	<i>-</i>	<i>X</i>	<i>X</i>	<i>-</i>
<i>Walkie-Talkie Ch 1</i>	<i>X</i>	<i>X</i>	<i>X</i>	<i>-</i>	<i>X</i>	<i>X</i>
<i>Walkie-Talkie Ch 2</i>	<i>-</i>	<i>-</i>	<i>-</i>	<i>-</i>	<i>X</i>	<i>X</i>

Example Code Words

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

CODE WORD	MEANING
Exercise Trojan Horse	Exercise name (example only)
Exercise Start	The exercise is to commence
Exercise Suspend	The exercise is temporarily suspended
Exercise Go	The exercise is to resume from where it was suspended
Exercise Stop	The exercise is to be terminated (prematurely)
Exercise End	The exercise is completed
For Exercise	The message or statement that follows this preamble relates to the exercise only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the exercise e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."



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 specialized 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 has 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 an 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 recognize the berthing assistance staff as their own, and not as a threat.*

**PE12 MASTER EVENTS LIST**

SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
<i>Date:</i>				
001	0900	High Control	Issue of Narrative No. 1	Conduct of the Port Facility security re-assessment commences
<i>Date:</i>				
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
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



SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
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



SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
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>



SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
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



SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
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 odorless 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 sanitize 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. *PFSO – 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 realize 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*



Section 2

Port Facility Exercises

The series of exercises in this Section occupy the more significant concerns in the maritime security space. Of principal interest from a readiness perspective is the ability of the Port Facility to respond adequately to security threats. These may be manifested in a wide variety of guises, the more common ones being unauthorized access and unauthorized, suspicious and dangerous items. Even routine cargo and ships' stores may present security challenges if not properly handled, as when interfacing with ship security activities. These then constitute the exercises which a Port Facility should perform in meeting its ISPS obligations.

These guidelines are for the preparation and conduct of tabletop simulation exercises. They are designed for Port Facilities to exercise their planning, command and control organization and processes as an avenue to meet the requirements of the ISPS Code on exercises. It is envisaged that such exercises may also be conducted as full scale or live exercises by the incorporation of one or more drills from Volume I Part 2.

EXERCISE	TITLE
	Port Facility Exercises
FE21	Response to Security Threats
FE22	Handling Unauthorized Items
FE23	Unauthorized Access
FE24	Cargo and Ships' Stores
FE25	Interfacing with ship security activities
FE26	Security Incidents



Exercise	FE21
Category	Port Facility Exercises
Type	Response to Security Threats
Security Level	1 and 2
References	<ol style="list-style-type: none">1. Port Facility Security Plan2. Relevant Port Facility security instructions, regulations and memorandums3. APEC Manual of Maritime Security Drills and Exercises Vol II Part 1 – Guidelines for the Conduct of Maritime Security Exercises4. ISPS Code Part A sections 16.3.3, 16.7 and Part B sections 15.9 to 15.12

INTRODUCTION

1. The security of a Port Facility depends not only on the careful planning and implementation of security measures, but also its response to threats to maritime security that may arise. Such threats may have been envisaged, or they may be unforeseen. They may be incidental, or they may be emergent or they may even be cyclical or seasonal.

2. While identifiable threats should be provided for in the PFSP, circumstances may not favor the implementation of the required provisions e.g. owing to the lack of funds. Nevertheless, these may be among the less worrisome, as they may be countered by operational responses, which are then specified as procedures in the PFSP. Unforeseen threats are the greater concern, as they are undefined, but they may also result in lower consequences. Emergent threats should be noticeable upon inception, and there should be time to react to them, as with cyclical or seasonal threats e.g. when calm seas prevail, allowing sea robbers to operate farther out to sea from small fast craft.

3. Responses to security threats should be pre-determined and specified in procedures in the PFSP. Ultimately, their effective implementation, and effective reaction to a surprise attack, will depend on the competence and capability of Port Facility personnel. Exercises contribute to personnel familiarity and readiness in responding to security threats.



4. These guidelines provide the basis for a discussion on a Port Facility's responses to security threats in the planning phase, and events for a tabletop simulation exercise in the execution phase. Selected drills from the APEC Manual of Maritime Security Drills and Exercises Volume I Part 2 may be incorporated to make it a full scale or live exercise.

AIM OF THE EXERCISE

5. The aim of this exercise is to practice personnel in their responses to security threats in order to enhance their competence in managing the maritime security task.

6. The principal objectives are:

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

REQUIRED ATTAINMENTS

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

PLANNING FOR THE EXERCISE

8. **Timetable**

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



9. Exercise Planning and Control Team

a. Exercise Director

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

b. Control Team

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

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

(3) Other controllers required are:

- (a) One higher controller (Operations)
- (b) One lower controller (possibly a Senior Security Supervisor)

c. Participants

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

(1) During the Planning Phase

- (a) Director, Operations
- (b) Director, Engineering
- (c) Director, Human Resources



- (2) Throughout the exercise
 - (a) Port Facility Security and/or Safety Manager
 - (b) Port Facility Security Officer (PFSO)
 - (c) Logistics manager
 - (d) At least one administrative staff member

10. Resources

a. Location

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

b. Communications

(1) **Equipment**

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

(2) **Code Words**

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



(3) **Security**

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

c. Other requirements

(1) Equipment for the planning phase

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

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

- (a) Status Boards
 - i. Operations status
 - ii. Deployment of forces, teams, personnel, vehicles, vessels, etc.
 - iii. Logistics status (fuel, water, supplies, breakdown & repair, etc.)
 - iv. Personnel status (manning, casualties, etc)
- (b) Log and Record Books
 - i. Operations Log
 - ii. Communications Log
 - iii. Incident Log

(3) Victuals and refreshments

11. **Management endorsement**

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



CONDUCTING THE EXERCISE

12. Scenario

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

13. Planning Process

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

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

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

14. Master Events List

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

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



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

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

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

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

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

15. Briefings

a. A briefing to controllers will be conducted by the Chief Controller and should include the following:

- (1) Objectives of the exercise.
- (2) Scenario for the exercise.



- (3) Roles to be played by controllers.
 - (4) Exercise injects, anticipated responses by participants, and feedback to be provided by lower controllers to participants for each response.
- b. A briefing to participants upon commencement of the exercise will include:
- (1) Organization for the exercise.
 - (2) Details of the administrative and logistics arrangements.
 - (3) Exercise objectives.
 - (4) Task(s) assigned.
 - (5) Issue of narrative no.1.

CONCLUDING THE EXERCISE

16. The exercise is deemed to have been completed when:
- a. The procedures for responding to security threats are reviewed and new initiatives recorded.
 - b. The execution phase has been completed with the planned injects employed.
 - c. The Exercise Director so decides.
17. **Debrief**
- a. Where a full scale or live exercise has been conducted, the debrief of the live components (which may comprise a number of different drills) should be conducted as soon as possible after the exercise, and preferably on the same day. The debrief of the planning and tabletop simulation of the execution phase may be conducted later, as the operations plan would have been documented, and most decisions and actions recorded in the form of messages.
 - b. Numerous messages may have been passed in the course of the execution phase of a tabletop simulation exercise. Only those relevant to specific lessons learnt may need to be preserved for the debrief, if only to serve as reminders for the points to be made.
 - c. The Chief Controller should conduct the debrief.



d. Appoint a note-taker to record the salient points of the discussion and in particular the lessons learnt and any follow-up actions required. Guidance should be provided to the note-taker as to what is to be recorded.

18. Reports

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

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

19. Records

An ISPS Drills and Exercises Record Book should be maintained by the Port Facility. The following is an example of an entry in the ISPS Drills and Exercises Record Book:

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



FE21 TIME-TABLE FOR PLANNING

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

**COMMUNICATIONS**Example Communications Plan

<i>Station</i> <i>Channel</i>	<i>PFSO</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.

CODE WORD	MEANING
Exercise Trojan Horse	Exercise name (example only)
Exercise Start	The exercise is to commence
Exercise Suspend	The exercise is temporarily suspended
Exercise Go	The exercise is to resume from where it was suspended
Exercise Stop	The exercise is to be terminated (prematurely)
Exercise End	The exercise is completed
For Exercise	The message or statement that follows this preamble relates to the exercise only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the exercise e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."



FE 21 SCENARIO SYNOPSIS

NARRATIVE NO. 1

General Security Situation

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

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

Maritime Security Situation

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

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

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



Security Incidents at the Port Facility

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

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

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

Annex A: Agenda for Port Facility Security Meeting



Annex A to Appendix 3

Port Facility address

Date:

To: See Distribution List

PORT FACILITY SECURITY MEETING - AGENDA

Reference: Port Facility Security Plan

INTRODUCTION

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

2. *The agenda is as follows:*

a. General situation and assessment

b. Threats assessment

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

(2) Internal threats from Port Facility staff

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

(4) Unauthorized access by personnel and vehicles.

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

(6) Attack on the Port Facility



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

Signed

*Chief Security Officer/Secretary
for PFSO*

Distribution:

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

Copy to:

Managing Director

**FE21 MASTER EVENTS LIST**

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



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



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



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

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



EXAMPLE REPORT

REPORT ON THE CONDUCT OF SECURITY EXERCISE FE21

INTRODUCTION

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

AIM

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

PARTICIPANTS

3. *Exercise Direction and Control*

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

4. *Exercise Participants*

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

EXERCISE OBJECTIVE

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



FORMAT

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

LESSONS LEARNT FROM THE EXECUTION PHASE

7. **Security Level**

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

8. **Subversion and sabotage**

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

9. **Screening Program**

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

10. **Blockade of the Port Facility**

The sinking of ship at or near the Port Facility wharves is a major concern as it will disrupt our operations for a considerable time. It was demonstrated that there may be conflicting interests between State security agencies, as well as the Port facility concerning the threat and location of a sinking, that may not be readily resolved. We



must consider a course of action that would lead to a satisfactory outcome for the Port Facility should such a scenario occurs. The PFSO is to consider the possibilities and present a proposal as soon as possible.

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

FOLLOW-UP ACTION

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

CONCLUSION

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

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



Annex A to Appendix 5

Port Facility address

Date:

To: See Distribution List

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

PRESENT:

Participants

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

Controllers

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

INTRODUCTION

1. Chairman called the meeting to order at 0920 in the Conference Room, and explained that the purpose of the discussion was to address the security threats that the Port Facility is facing, and our responses to them to ensure the security of our Port Facility. He added that the discussion would be deemed an exercise in the context of the Port Facility's obligations to the ISPS Code, and that it would be followed by an active tabletop simulation.

2. The PFSO then provided a summary of the national security situation and the situation in and around our port, which he obtained from the Designated Authority. Please see Annex A for the summary (not included).



SECURITY INCIDENTS

3. **Surveillance**

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

4. **Unauthorized Access**

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

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

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

5. **Potential for Subversion**

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



6. **Cargo Handling**

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

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

RESPONSES TO SECURITY THREATS

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

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

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

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



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

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

CONCLUSION

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

Signed

*Chief Security Officer
Secretary*

Distribution:

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



Exercise	FE22
Category	Port Facility Exercises
Type	Handling Unauthorized Items
Security Level	1 and 2
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Vol II Part 1 – Guidelines for the Conduct of Maritime Security Exercises 4. ISPS Code Part A sections 16.3.1 and Part B sections 15.4.2 and 15.11.5

INTRODUCTION

1. The security of a Port Facility depends not only on the careful planning and implementation of security measures, but also its response to threats to maritime security that may arise. High among those threats are contraband, and items that may be used against the Port Facility and beyond. It is therefore imperative that such items be known, recognized and prohibited, and should a failure occur in preventive measures, there must be a mechanism for their safe and lawful removal. For the purposes of this exercise, “unauthorized items” are any items that are expressly banned from Port Facility premises or require special permission for their introduction to the Port Facility or the possession of which is considered unlawful without special permit by the State. Examples include cameras, duty-unpaid cigarettes, narcotics, dangerous or lethal substances, weapons, explosives and explosive devices,

2. Descriptions or even pictures of unauthorized items are often insufficient to assure people that they have a good idea of what an item is. Where such items involve dangerous goods or substances, it is even more important that people who are most likely to come in contact with them at the Port Facility should get a good feel of what they are like. The ultimate would be to experience the effect of their use.

3. This exercise seeks to educate Port Facility staff in these unauthorized items, and how they may present themselves in a Port Facility, so as to practice the correct responses to them thus providing familiarity and confidence in their handling. This exercise will



also require participants to plan their pre-emptive measures and responses to the threat of unauthorized items entering and found within the Port Facility, and subsequently test these responses in the execution phase. Injects from the drills in 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

4. The aim of this exercise is to practice personnel in their handling of unauthorized items in order to enhance their competence in managing the maritime security task.
5. The principal objectives are:
 - a. To provide familiarization training in unauthorized items.
 - b. To validate the Port Facility's measures against unauthorized items.
 - c. To practice the command, control, coordination and communications for security activities both within and beyond the Port Facility.

REQUIRED ATTAINMENTS

6. On completion of the exercise, participants will be able to:
 - a. Recognize unauthorized items and manage them competently.
 - b. Handle certain unauthorized items safely
 - c. Plan and implement measures against unauthorized items and respond appropriately to them if discovered.

PLANNING FOR THE EXERCISE

7. **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 12 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](#).



8. Exercise Planning and Control Team

a. Exercise Director

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

b. Control Team

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

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

(3) Other controllers required are:

- (a) One higher controller (Operations)
- (b) One lower controller (possibly a Senior Security Supervisor)

c. Participants

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

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

9. Demonstration of Unauthorized Items

a. The principal feature of this exercise is the demonstration, and where possible, hands-on familiarization of some unauthorized items. As many unauthorized items are usually only available to State security forces, arrangements should be made through the Designated Authority to provide the



suggested exposure to Port Facility security staff, and if possible, other staff who are likely to encounter such items in the course of their work.

b. Items that should be highlighted include:

S/NO	ITEM	RECOMMENDED TRAINING		
		DISPLAY	DEMO	HANDS-ON
1	Explosives	✓	✓	✓
2	Improvised explosive devices	✓	✓	-
3	Biological/chemical agent (simulated)	✓	-	-
4	Biological/chemical devices (letters, etc.)	✓	-	-
5	Automatic rifle	✓	✓	✓
6	Hand gun	✓	✓	-
7	Swords and knives	✓	-	-
8	Radio control transmitter	✓	✓	✓
9	Camera	✓	✓	✓

(1) Display - Staff may view and get hands-on familiarization of the items.

(2) Demonstration – A demonstration of the use of the item, including building, operating and using and/or firing it.

(3) Hands-on – Staff will build, operate and use/fire the item under instruction.

10. Resources

a. Location

(1) Planning and control room for the controllers.

(2) Planning Room for participants.



(3) Control Room or Operations Room for the execution phase of the exercise. If the Port Facility has a control or operations room, this should be used. Care should be taken to ensure there is no interference or confusion with normal Port Facility operations.

(4) Conference Room for the presentation of the proposals to management.

b. Communications

(1) **Equipment**

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

(2) **Code Words**

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

(3) **Security**

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

c. Other requirements

(1) Equipment for the planning phase

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



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

(a) Status Boards

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

(b) Log and Record Books

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

(3) Victuals and refreshments

11. Management endorsement

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

CONDUCTING THE EXERCISE

12. Scenario

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

13. Planning Process

- a. During the planning phase, participants are expected to develop a comprehensive list of unauthorized items that pose a threat to the Port Facility, and propose the security measures to be undertaken to pre-empt, prevent and respond to them. Participants may use the lists and measures in the PFSP as a basis, or start from scratch as desired.



b. Various planning processes and methods are available to formulate a plan for handling unauthorized items at the Port Facility. These generally provide a systematic framework for planning a task or operation. The following may be considered:

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

c. The planning may take place over a period of one day, on completion of which a written review of the PFSP’s security measures against and responses to unauthorized items presenting at the Port Facility should be prepared.

14. **Master Events List**

a. During the execution phase of the tabletop simulation exercise, injects from the Master Events List will be introduced by the controllers for responses to be made by participants. 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.

b. In general, injects should seek to test:

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

c. Some topics that may be considered for injects that test responses to unauthorized items are:

- (1) Shipment of cargo with contraband items hidden in it.
- (2) Personnel introducing unauthorized items in personal bags or packages.
- (3) Unauthorized items in unaccompanied baggage.
- (4) Unauthorized items in the mail.
- (5) Vehicles/vessels carrying unauthorized items.



(6) Unauthorized items projected into the Port facility premises.

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

15. Briefings

a. A briefing to controllers will be conducted by the Chief Controller and should include the following:

- (1) Objectives of the exercise.
- (2) Scenario for the exercise.
- (3) Roles to be played by controllers.
- (4) Exercise injects, anticipated responses by participants, and feedback to be provided by lower controllers to participants for each response.

b. A briefing to participants upon commencement of the exercise will include:

- (1) Organization for the exercise.
- (2) Details of the administrative and logistics arrangements.
- (3) Exercise objectives.
- (4) Task(s) assigned.
- (5) Issue of narrative no.1.



CONCLUDING THE EXERCISE

16. The exercise is deemed to have been completed when:
 - a. Fresh initiatives in the security measures to be undertaken to pre-empt, prevent and respond to the threat of unauthorized items are recorded.
 - b. The execution phase has been completed with the planned injects employed.
 - c. The Exercise Director so decides.

 17. **Debrief**
 - a. Where a full scale or live exercise has been conducted, the debrief of the live components (which may comprise a number of different drills) should be conducted as soon as possible after the exercise, and preferably on the same day. The debrief of the planning and tabletop simulation of the execution phase may be conducted later, as the proposals for the security measures and other operations plan would have been documented, and most decisions and actions recorded in the form of messages.
 - b. Numerous messages may have been passed in the course of the execution phase of a tabletop simulation exercise. Only those relevant to specific lessons learnt may need to be preserved for the debrief, if only to serve as reminders for the points to be made.
 - c. The Chief Controller should conduct the debrief.
 - d. A note-taker should be appointed to record the salient points of the discussion and in particular the lessons learnt and any follow-up actions required. Guidance should be provided to the note-taker as to what is to be recorded.

 18. **Reports**
 - a. A formal report on the exercise should be submitted to management. The report will highlight the lessons learnt and significant recommendations from the review conducted as part of the tabletop simulation. If drills are incorporated in the exercise as the live component, the report should include the lessons learnt from the drills in the format for the drills reports in Volume I Part 2. Where appropriate, a copy of the report should be extended to the Designated Authority. An example of a report for the tabletop simulation is provided at [Appendix 5](#).
 - b. If there are significant issues and recommendations concerning the security of the Port Facility or proposing certain expenditures, a verbal presentation of the report at a top management meeting should be considered.
-



19. Records

An ISPS Drills and Exercises Record Book should be maintained by the Port Facility. The following is an example of an entry in the ISPS Drills and Exercises Record Book:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
	<i>Exercise</i>	<i>Port Facility exercise</i>	<i>FE22 – Handling Unauthorized Items</i>	<i>PF/101/08-FE22 dated xx/yy/zzzz</i>

**FE22 TIME-TABLE FOR PLANNING**

DAYS TO EXERCISE	DATE	EVENT	CHECK
D -120		Seek State security agency assistance for familiarization training in handling unauthorized items	
D -90	(calendar	Confirm the exercise date	
D -80		Request participation in the exercise	
D -70	dates to	Confirm budget availability for items and/or services to be employed during the exercise	
D -30	be	Review Volume II Part 1 - Guidelines for the Conduct of Maritime Security Exercises	
D -27	inserted)	Appoint the Exercise Planning and Control Team	
D -21		Convene the initial planning conference	
D -21		Refine the scenario and narratives Adjust the Master Events List	
D -14		Confirm the participants	
D -10		Obtain management endorsement	
D -7		Promulgate the Exercise Administrative Instructions	
D -2		Brief the controllers	
D -1		State training on handling of unauthorized items	
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</i> <i>Control</i> <i>Room</i>	<i>Security</i> <i>Guard,</i> <i>Fixed</i> <i>Stations</i>	<i>Security</i> <i>Guard,</i> <i>Roving</i>	<i>Ship /</i> <i>Vessels</i>	<i>High</i> <i>Control</i>	<i>Low</i> <i>Control</i>
<i>Telephone</i>	<i>X</i>	<i>X</i>	<i>-</i>	<i>-</i>	<i>X</i>	<i>X</i>
<i>Mobile</i>	<i>X</i>	<i>X</i>	<i>X</i>	<i>X</i>	<i>X</i>	<i>X</i>
<i>Marine VHF</i>	<i>X</i>	<i>-</i>	<i>-</i>	<i>X</i>	<i>X</i>	<i>-</i>
<i>Walkie-Talkie Ch 1</i>	<i>X</i>	<i>X</i>	<i>X</i>	<i>-</i>	<i>X</i>	<i>X</i>
<i>Walkie-Talkie Ch 2</i>	<i>-</i>	<i>-</i>	<i>-</i>	<i>-</i>	<i>X</i>	<i>X</i>

Example Code Words

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

CODE WORD	MEANING
Exercise Trojan Horse	Exercise name (example only)
Exercise Start	The exercise is to commence
Exercise Suspend	The exercise is temporarily suspended
Exercise Go	The exercise is to resume from where it was suspended
Exercise Stop	The exercise is to be terminated (prematurely)
Exercise End	The exercise is completed
For Exercise	The message or statement that follows this preamble relates to the exercise only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the exercise e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."



FE 22 SCENARIO SYNOPSIS

NARRATIVE NO. 1

General Security Situation

1. *Although a generally peaceful country with a stable but somewhat corrupt government, the country has of late been beset with problems from a militant band of separatists who are demanding self-rule for their oil rich province from which the largely agriculture and primary-industry based economy obtains most of its GDP. The separatists claim that their province produces most of the country's wealth, but receives only a small proportion of government disbursements, which are pegged to population. The central government, which is located in a populous but relatively poor province has vowed to keep the country together, and has been fighting the militants in a guerilla war for the past 5 years, but without much success in eradicating them.*

2. *Of late, the militants have embarked on a terrorist campaign against government politicians, agencies and the economy to try and gain the upper hand. Street protests have multiplied, and seemingly occur every day in one city or another. A suicide bomber blew himself up in a crowded square in the capital, killing 7 persons and injuring 25 others. Death threats have been received by all the members of the cabinet, including the minister for mining, who hails from the separatists' province. A junior minister was poisoned and died in his own home, although it is uncertain if this was related to the separatist campaign, as there were other circumstances surrounding his murder. Police investigations into his death are continuing, and no arrests have been made.*

Maritime Security

3. *The country has a Navy with some old frigates and landing ships donated by its former colonial masters and new-build patrol boats. In addition to defense against external aggressors, the Navy's role includes maritime security and protection of the EEZ. The Coast Guard is responsible for the policing of the country's territorial waters against economic and maritime security threats such as smuggling. The Coast Guard shares its large fleet of patrol boats with the Customs and Immigration Authority, in that Customs and Immigration officers are embarked and exercise their duties from Coast Guard boats in certain sectors.*

4. *Ports and Ports Facilities and the shipping industry is loosely regulated by the Maritime and Ports Authority, which also functions as the Designated Authority as specified in the ISPS Code.*



5. *Industry sources indicate that there is a significant increase in maritime security incidents such as pilferage and hijackings of cargo, as well as industrial action among stevedores and other port workers. Two days ago, the Chief Executive Officer of a prominent shipping company received a demand for payments in return for protection of the company's ships and cargo in port.*

Security Incidents at the Port Facility

6. *Two weeks ago, there was a small explosion at the fluids tanking facility across the harbor. A fire broke out at a tank which was holding methanol at the time. Fortunately, the fire was extinguished before it could spread, and the surrounding tanks contained non-flammable liquids or were empty. In all 3 tanks were destroyed. According to the PFSO, the cause of the fire is still being investigated.*

7. *This Port Facility has been the subject of surveillance at least twice in the last month. A van was observed parked opposite the goods vehicle entrance at Gate 2. The driver watched activities for almost an hour. When asked, he said he was waiting for someone. Another man was observed filming the Port Facility from inside a motor launch off the ferry terminal. The launch sped off when a Coast Guard vessel appeared nearby on its routine patrols.*

8. *A man was found in the fuel pump room by technicians. When asked what he was doing there, he said he was sent by a maintenance contractor whose name no one had heard of, and quickly left. The technicians did not pursue him and claimed they were under pressure to complete the repair of a faulty valve. They only reported the incident when they were overheard by their supervisor discussing it during a coffee break.*

**FE22 MASTER EVENTS LIST**

SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
Date:				
001	0900	High Control	<i>Issue of Narrative No. 1</i>	<i>Planning commences</i>
002	1300	Low Control	<i>A flick knife was found in the haversack of a berthing assistant. He claimed it was his penknife which he always carried with him and used on the job.</i>	<i>To retain the flick knife for safe keeping and inform the worker it will be returned to him when he leaves the Port Facility</i>
003	1320	High Control	<i>X-ray screening of passenger bags found one bag containing a machete. The passenger claimed it was a souvenir he bought at the local market and was taking home with him.</i>	<i>To hand over the machete to ship crew for safe-keeping. The passenger may claim the knife at the Port Facility main entrance upon final disembarkation</i>
004	1330	Low Control	<i>Gate 1 security reports an employee with a can of lighter fluid refill in his bag. He says it is for refilling his cigarette lighter. The employee is a known smoker.</i>	<i>To instruct security to retain for safe-keeping and return to employee upon checkout.</i>
005	1340	Low Control	<i>X-ray of an export consignment of automatic rifles from an armaments factory shows a large quantity of hand grenades. There are no hand grenades listed in the declaration forms and bill of lading</i>	<i>To contact consignor for verification. To report to Customs and Police</i>
006	1350	High Control	<i>MV Phantom's SSO reported that the ship has found a quantity of bullets on board, suspected to have been embarked at this Port Facility</i>	<i>To liaise with MV Phantom and Police for the investigation</i>



SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
007	1400	High Control	<i>MV Phantom has decided to implement Security Level 2 measures and requests for a DoS unless the Port Facility also increases its Security Level measures</i>	<i>To decide on Security Level measures to implement</i>
008	1430	High Control	<i>Management has decided to implement Security Level 2 measures in case the massive surge in the number of security incidents today indicates imminent terrorist activity, with the possibility of a concerted attack against this Port facility</i>	<i>To implement Security Level 2 measures. To inform DA, other ships and adjacent facilities</i>
009	1440	Low Control	<i>Gate 1 security reports a camera found in the glove compartment of the HR Manager's car. She said she forgot about it after a weekend out with her family</i>	<i>To instruct security to retain for safe-keeping and return to the HR Manager upon checkout.</i>
010	1450	Low Control	<i>Security patrol spotted a package being thrown over the fence and into the Port Facility</i>	<i>To cordon off area, and coordinate with State security agencies to investigate the package or, upon guidance from State agencies, to instruct security patrol to leave it alone and set a trap for whoever retrieves it</i>
011	1455	Low Control	<i>Security Control Room reports that a man was seen on security camera 6 throwing a package over the fence with the aid of a sling and a pole</i>	<i>To extract the section of the video recording for Police investigation</i>



SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
012	1500	<i>Low Control</i>	<i>Security patrol has retrieved the package as it is soft and does not appear to be explosives Note: It is assumed that security staffs are unlikely to be trained to handle suspicious packages. This is an intentional handling error introduced to test security management responses</i>	<i>To investigate</i>
013	1510	<i>High Control</i>	<i>The package contains raw beef laced with a black substance, which was sent to the lab for analysis. It is assessed that the item is poisoned meat in an attempt to get rid of the Port Facility's sniffer dogs</i>	<i>To arrange for lab analysis</i>
014	1545	<i>High Control</i>	<i>Consignee is enquiring about his cargo of fireworks that was supposed to have been unloaded from MV Phantom yesterday and delivered</i>	<i>To investigate</i>
015	1550	<i>Low Control</i>	<i>Cargo security reported that the container of fireworks cargo that arrived yesterday was unloaded but the documentation cannot be traced, and there is no information of the whereabouts of the cargo</i>	<i>To investigate and check cargo in the Port Facility</i>
016	1555	<i>Low Control</i>	<i>Clerk opening the mail was exposed to a little perfumed white powder. A note in the envelope said that the next time, it would be the real thing. There was no demand for money</i>	<i>To keep evidence and report to Police</i>



SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
017	1600	Low Control	<i>Vehicle undercarriage inspection revealed what appeared to be a bomb strapped to the chassis next to the fuel tank of a van. The driver claimed to be sending ships stores to MV Phantom. He had changed his identity document for a Port Facility temporary pass, and a vehicle pass. The driver argued about alighting for the inspection, but did so reluctantly and was talking loudly to the security staff. The security staff inspecting the vehicle reported the suspected bomb quietly to the supervisor. The driver, who was watching and talking all the time, suspected something was amiss and made a dash for his vehicle, but was caught and subdued after a brief struggle.</i>	<i>To evacuate area and report to Police</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 FE22

INTRODUCTION

1. *Exercise FE22 from the APEC Manual of Maritime Security Drills and Exercises Volume II Part 2 was conducted by this Port Facility to familiarize personnel with items considered a security threat to the Port Facility and to practice the measures and responses to the discovery of such unauthorized items.*

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. _____ Deputy Director, Operations*
- b. *Exercise Chief Controller – Mr. _____ Manager, Port Services*
- c. *Exercise High Controller - Mr. ____ Asst. Manager, Business Development*
- d. *Low Controller - Ms. _____ Manager, Training*

4. *Exercise Participants*

- a. *Mr. _____ Senior Manager, Engineering Services*
- b. *Mr. _____ Manager, Safety and Security*
- c. *Mr. _____ PFSO*
- d. *Mr. _____ Chief Security Supervisor*

EXERCISE OBJECTIVE

5. *The exercise was planned to:*

- a. *Undertake a comprehensive inventory of items considered a threat to the security of the Port Facility and therefore not authorized for free access into the premises unless by special permission or as legitimate cargo.*
- b. *Validate the responses to such security threats.*



- c. *Practice the command, control, coordination and communications for security activities both within and beyond the Port Facility.*

FORMAT OF THE EXERCISE

6. *The exercise was conducted in three phases as follows:*
 - a. *Phase I – After lengthy negotiations with State security agencies, familiarization training on some threat items such as explosives and weapons was arranged for 7 Port Facility staff. This was held at the Army Training School on date. The staff derived great satisfaction and value from the training, which included hands-on practice on automatic rifles and handguns at the firing range. Unfortunately, the Army did not agree to hands-on training with explosives although a live-firing demonstration was carried out.*
 - b. *Phase II – This was the planning phase held on the morning of date. It focused on the Port Facility's recognition of the threat from unauthorized items as well as the responses to those threats, wherein the participants produced a written list of all unauthorized items and the likely techniques for their illegal entry into the Port Facility premises.*
 - c. *Phase III – During this phase, held on the afternoon of date, the controllers issued a narrative followed by injects or incidents pertaining to the entry of unauthorized items. Participants practiced the command, control and communications for handling of unauthorised items in the Port Facility.*

PLANNING PHASE

7. *The following items were identified during the planning phase:*
 - a. *Shipment of cargo with contraband items hidden in it.*
 - b. *Personnel introducing unauthorised items in personal bags or packages.*
 - c. *Unauthorised items in unaccompanied baggage.*
 - d. *Unauthorised items in the mail.*
 - e. *Vehicles/vessels carrying unauthorised items.*
 - f. *Unauthorised items projected into the Port facility premises.*



LESSONS LEARNT FROM THE EXECUTION PHASE

8. ***Arms and explosives found on board***

a. *The presence of dangerous goods such as arms and explosives must be treated with special consideration as they invariably come under some form of State control, even if they are not discovered in operational form i.e. a bomb. Thus, State authorities must be notified without delay. A close watch by reliable staff must be maintained to ensure safety and security, and proper documentation must be completed upon handing over to the State authorities. The situation may be complicated by such items being found on board ships, and should be managed between the SSO, PSFO, and the State authorities.*

b. *Procedures for the following should be specified in the PFSP:*

- (1) *Removal of the items*
- (2) *Investigation of the screening provided by the Port Facility*
- (3) *Source of the items*
- (4) *Removal by State authorities*

9. ***Dangerous unauthorised items in the mail***

a. *Apart from the possibility of hoaxes and criminal extortion, it is not expected that a dangerous substance attack on the Port Facility would be a significant threat, given its rarity and difficulty in handling, etc. Nevertheless, such an attack cannot be ruled out in a terrorist threat environment, as it will cause a major dislocation of Port Facility services, and even the total shut-down of the Port Facility if a crucial area such as the control centre is hit.*

b. *Damage control and mitigation procedures should be incorporated in the PFSP as follows:*

- (1) *Isolate affected personnel and area*
- (2) *Shut down ventilation systems such as air-conditioning and fans*
- (3) *Call for urgent State assessment, assistance and intervention*
 - (a) *Specialist emergency teams*
 - (b) *Medical assistance*

10. ***Unauthorised items projected into Port Facility premises***

a. *A wide range of unauthorised items may be launched into the premises from outside the fence, from contraband to explosive devices and, as demonstrated in this exercise, poisoned foodstuff. Other than explosive devices and poisoned foodstuff targeting patrol animals, contraband and other smuggled*



items assume a recipient within the Port Facility, in which case internal security and intelligence are important defenses.

b. Deterrent measures recommended for implementation are:

- (1) Surveillance cameras to cover the contiguous zone outside Port Facility premises*
- (2) Security lighting with coverage over the contiguous zone to supplement street lighting, etc.*

FOLLOW-UP ACTION

11. Most of the areas covered in this exercise on unauthorized items are adequately covered in the PFSP. The PFSO will monitor the recommendations noted in the significant lessons learnt above for implementation and revisions to the PFSP, where appropriate.

CONCLUSION

12. This exercise has been useful in identifying the shortcomings in the PFSP for both deterrent measures and responses to the introduction of unauthorized items into the Port Facility. The exercise brought together the stakeholders with accountability for the task, both directly and indirectly to work on the issues affecting the associated security 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.



Exercise	FE23
Category	Port Facility Exercises
Type	Unauthorized Access
Security Level	1 and 2
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Vol II Part 1 – Guidelines for the Conduct of Maritime Security Exercises 4. ISPS Code Part A sections 14.2.1 to 14.2.4, 14.3, 14.4, 16.2 and Part B sections 15, 16.10 to 16.29

INTRODUCTION

1. The control of access to Port Facility premises is a primary security measure imposed by all Port Facilities. The security afforded by good access control affects all aspects of port operations, from the safety of personnel and equipment to the security of cargo, and even to the bonded status of that cargo. Access control includes perimeter security, and personnel and vehicle/vessel checks upon entry/exit. The integrity of access control measures depends on the control measures put in place, the maintenance of those measures and the quality of the personnel manning and maintaining them. In most cases, management of access control is inherited, and performed as a business-as-usual function. Thus, it is useful to undertake a periodic review of all access control measures and processes as a whole.

2. These guidelines are prepared as a tabletop simulation exercise. 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 examine all aspects of the threat of unauthorized access in order to identify measures to mitigate the vulnerability of the Port Facility to this threat.



4. The principal objectives are:
 - a. To undertake a comprehensive review of the Port Facility's access control measures and processes.
 - 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 written operation plan for access control measures is to 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 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 (Operations)
 - (b) One lower controller (possibly a Senior Security Supervisor)

c. Participants

All stakeholders in the performance of access control at the Port Facility should participate:

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

b. Communications

(1) **Equipment**

All the usual Port Facility communications means should be employed. If radio communications (including walkie-talkies) is to be part of the communications means, separate channels (from the usual operating channels) should be nominated for the purposes of the exercise, and a



communications plan promulgated. Separate communications channels will also be required for controllers. See example in [Appendix 2](#).

(2) **Code Words**

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

(3) **Security**

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

c. Other requirements

(1) Equipment for the planning phase

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

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

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



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

- (3) Victuals and refreshments

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 initiate the planning process. A fictitious scenario of increasing instances of unauthorized access is painted, leading to the inevitable conclusion that access control at the Port Facility is in dire need of a thorough overhaul. The example narratives are provided in [Appendix 3](#).

11. Planning Process

- a. Various planning processes and methods are available to formulate a plan against the threat of unauthorized access at the Port Facility. The following may be considered:
 - (1) The guidelines provided in ISPS Code Part B sections 15 and 16.
 - (2) The “Threat Evaluation and Risk Assessment” methodology advocated in IMO familiarization courses on the ISPS Code.
 - (3) Any other evaluative methodology e.g. ISO DIS 20858 on Ships and Marine Technology — Maritime port facility security assessments and security plan development.
- b. The planning may take place over a period of one day, on completion of which a written access control plan should be prepared and presented to top management for formal endorsement. Plans developed must be:
 - (1) Suitable – They must meet the requirements of the task, and provide a reasonable response to the threats.



- (2) Acceptable – They must be accepted from a personnel and organizational culture perspective.
- (3) Feasible – The plans must be realistic and achievable, including from a funding perspective.

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 access control initiatives formulated during the planning stage. These should be incorporated in the Master Events List.
- b. In general, injects should seek to test:
 - (1) Command, control and coordination procedures and processes
 - (2) Communications channels and procedures.
- c. Some topics that may be considered for injects that test access control measures are:
 - (1) Type of personnel access control measures.
 - (2) Type of vehicle and/or vessel access control measures.
 - (3) Entry through a breach in the physical security measures e.g. a hole in the fence, or climbing over the fence.
 - (4) Entry through an unattended gate.
 - (5) Entry through inadequate access control processes.
 - (6) Inattentive security staff at a manned gate.
 - (7) Distraction of security staff by an accomplice.
- d. During the execution phase of a tabletop simulation exercise, injects from the Master Events List are issued by the Chief Controller to be acted upon by the participants. When the participants need to have some action carried out by a subordinate unit or individual e.g. security guards stationed at the entrance to the



Port Facility, they are to message the instruction to the lower controller, who will then respond in appropriate time on the outcome of the action. This response should be consistent with the overall objective of the exercise and specific purpose of the inject.

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) 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. The operations plan against the threat of unauthorized access is endorsed and printed following any adjustments after the formal presentation to management for approval. An example of a Plan is provided in [Appendix 5](#).

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 operations plan would have been documented, and most decisions and actions recorded in the form of messages.

- b. Numerous messages may have been passed in the course of the execution phase of a tabletop simulation exercise. Only those relevant to specific lessons learnt may need to be preserved for the debrief, if only to serve as reminders for the points to be made.
- c. The Chief Controller should conduct the debrief.
- d. Appoint a note-taker to record the salient points of the discussion and in particular the lessons learnt and any follow-up actions required. Guidance should be provided to the note-taker as to what is to be recorded.

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 6](#).
- 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:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
	<i>Exercise</i>	<i>Port Facility exercise</i>	<i>FE23 – Unauthorized access</i>	<i>PF/101/08-FE23 dated xx/yy/zzzz</i>



FE23 TIME-TABLE FOR PLANNING

DAYS TO EXERCISE	DATE	EVENT	CHECK
D -60	(calendar	Confirm the exercise date Request participation in the exercise	
D -30	dates to be	Confirm budget availability for items and/or services to be employed during the exercise Review Volume II Part 1 - Guidelines for the Conduct of Maritime Security Exercises	
D -27		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

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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. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."



FE 23 SCENARIO SYNOPSIS

NARRATIVE NO. 1

General Security Situation

1. *With increasing social inequity, the threats to the internal security of the country are steadily rising. There have been street demonstrations over the increase in fuel prices, and consequent increases in the cost of living. XYZ airport was the target of a suicide bomber on 4 Jul XX, but fortunately, not much damage was done, with 3 casualties but no deaths other than the bomber herself. On 5 Nov XX, the State Central Library was burnt down by an arsonist. The library has been very popular with the public but was slated for demolition by the State authority.*

2. *Of significance to the maritime industry, clandestine activists have threatened to disrupt the country's economy in order to de-stabilize the current government. One group has associated itself with sea robbers known to be operating within 70 nm from this Port Facility.*

Security Incidents at the Port Facility

3. *During the past year, management has been apprised of 4 breaches of the perimeter fence by thieves entering the Port Facility. Items stolen include small palletized cargo items awaiting containerization, ships stores awaiting embarkation, and copper cable for renovation works at the power transformer sub-station.*

4. *The Operations Manager had received a threat to beat him up, but this is believed to be related to management of stevedores at the Port Facility. No harm has yet befallen the Operations Manager.*

5. *At the main entrance, there have been 2 cases of attempted stowaways that were intercepted, and 2 ships complained of stowaways found on board after having sneaked into the Port Facility premises. One of the ships had actually sailed before the stowaway was found, and the stowaway was handed over to the police at the next port of call.*

6. *There were 3 cases of entry under false identity. All of them were laborers employed by contractors working on the new Wharf Delta. Two were illegal immigrants and the contractors were penalized by the State authority. This Port Facility was also fined for the infringement, even though we were the ones who reported the illegal aliens.*



Costs of security lapses to the Port Facility

7. *Total uninsured loss: \$7,560.00*
8. *Total insurance claims arising from the losses: \$115,470.00.*
9. *Increase in insurance premium attributed to the claims: \$3,550.00*

Actions Taken

10. *Owing to cost-cutting measures, the security department has been very understaffed 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 reported 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 on the Port Facility, with very serious consequences.*

Recommendations

11. *It is recommended that a thorough review of Port Facility access control measures 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 critical, with the threat of uncontrolled civil disobedience increasing dramatically. Despite a ban on strikes, there has been widespread worker dissatisfaction, and striking workers may be seen almost everywhere. Government forces have struck back at demonstrators, forcefully putting down demonstrations and preventing them from taking to the streets.*

2. *Two days ago, 1 person was killed and 5 injured when a nervous Police officer ordered his men to open fire into the crowd. In a bid to calm the situation, the government promised to prosecute the Police personnel involved but this has led the Police Chief to issue a statement declaring that the morale of Police personnel will be adversely affected, and the Police may not be able to do their job effectively. This apparent rift is expected to embolden demonstrators, and the threat of terrorist attacks against targets seen to be in support of the government has now increased significantly.*

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 implement the measures for Security 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. *Port Facility security staff have had a difficult time trying to resolve the access control issues arising out of the apparent unauthorized access by one or two persons, and responding effectively to the threat they pose. The intruder or intruders are proving very elusive, and there is still no positive information on them.*

Ship Alongside

5. *MV YHN is alongside the Port Facility. The Ship Security Officer has been in contact with the PFSO following the Port Facility security staff queries over the alleged deliveries to the ship. The PFSO has informed the Ship Security Officer that the State Designated Authority has advised that Security Level 2 has been declared, and all Ports and Port Facilities are to implement the measures for Security Level 2 with immediate effect. The SSO has told the PFSO that the ship is at Security Level 1.*

**FE23 MASTER EVENTS LIST**

SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
<i>Date:</i>				
001	0900	High Control	Issue of Narrative No. 1	Planning for access control commences
002	1630	Management	Endorsement of the Plan	Participants should present the access control plan to top management for endorsement
<i>Date:</i>				
003	0700	Low Control	Security patrol reports that there is a hole in the perimeter fence big enough to let a person through	Security team 4 to investigate
004	0720	Low Control	The hole is at Fence Section number 34. The fence has been deliberately cut	Maintenance team to restore
005	0750	Low Control	Cut section of the chain link fence has been wired shut. No further action required.	Report on status
006	0800	High Control	Station engineer reports unidentified person seen at pumping station on the wharf without security pass	Security team to investigate
007	0900	Low Control	Pumping station searched thoroughly. Nothing found.	
008	1030	High Control	Gate 1 guards report one man creating a disturbance outside the gate	Report on what is happening
009	1035	Low Control	One man outside the left side of the gate was shouting and gesticulating wildly. He was screaming abuse at the government. We all went out there to try and pacify him.	Report on status



SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
010	1100	High Control	Accounts clerk reports unidentified man walking downstairs from the administrative office. He was dressed like a laborer, and was not wearing a security pass. When asked what he was doing there, he rushed down and out of the building.	Security team 4 to investigate
011	1130	Low Control	Surrounding areas of administrative office searched. Nothing found.	Control room alerted to watch surveillance monitors for strangers
012	1140	Low Control	Control room surveillance video playback shows man dressed in T-shirt and jeans in ground floor lobby running out of the building	Follow-up on measures for custody of the tape and coordination measures for further investigation
013	1145	Low Control	There is a man here wanting to visit MV YHN alongside at Wharf Charlie. He has no identification papers to exchange for a security pass. He won't go away and wants to speak to a manager.	To direct security guards to get his name and ask MV YHN if they know him or are expecting him. If they do, get them to escort him in and take responsibility for him.
014	1150	Low Control	MV YHN says they do not expect any visitors.	To direct security guards to reject the man's request for entry
015	1155	Low Control	The man has left	
016	1200	High Control	Security team 4 is continuing their search for one or two unidentified persons reported to be in the Port Facility premises	To ask the Station engineer how the person he saw was dressed
017	1215	Low Control	Station engineer reports that he could not tell for sure, but he thinks the man was dressed in jeans and T-shirt	To direct Security Team 4 to continue search for two intruders
018	1300	High Control	Guards at the main gate report a truck delivering ships supplies, but they do not have any record of ships supplies delivery today	To direct security guards to ask for details of the delivery



SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
019	1315	Low Control	<i>The driver says he is delivering oxygen and acetylene welding gas to MV YHN. The truck is filled with 20 cylinders of each gas. There is one assistant with the driver.</i>	<i>To direct security guards to ask MV YHN if they have ordered any supply of welding gas, and from which company.</i>
020	1325	Low Control	<i>Security supervisor at the main gate was talking to the First Officer of MV YHN, when someone came on the line and confirmed that MV YHN had ordered the welding gas, and to kindly let the truck through. He said it was a last minute requirement and they forgot to notify the Port Facility.</i>	<i>To direct security guards to prevent the truck from entry pending further enquiries</i>
021	1330	Low Control	<i>The truck driver was issued with a visitor pass after he submitted a temporary identity document. He claimed that he recently lost his identity document, and he had not received a replacement yet. The truck has already proceeded into the Port Facility</i>	<i>To direct Security team 4 to proceed at once to MV YHN to stop the truck</i>
022	1345	Low Control	<i>Security team 4 reports no truck at MV YHN. Requests description of the truck</i>	<i>To direct Security team 4 to contact main gate for the description</i>
023	1400	High Control	<i>Issue of Narrative No. 2</i>	<i>To issue instructions for increase in Security Level measures, including exchange of DoS with ships</i>
024	1430	High Control	<i>Security guard reports that a speedboat racing past our Port Facility within the "No Entry" zone had ignored his hand signals and megaphone warning to clear off.</i>	<i>To direct security guards to continue to observe speedboat. To report intrusion to the State maritime and port security agency</i>



SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
025	1445	Low Control	<i>Security guard reports observing an explosion at a ship alongside a nearby Port Facility. The explosion appeared to have been near the waterline, and the ship is now listing severely.</i>	<i>To report explosion to the State maritime and port security agency</i>
026	1500	High Control	<i>Truck delivering welding gas to MV YHN has defied orders to stop, and charged out the gate and raced away. It was carrying 3 persons in the cabin.</i>	<i>To direct Security team 4 to check MV YHN</i>
027	1530	Low Control	<i>MV YHN has one casualty with a head wound who claims he is the First Officer. He says he was hit on the head and lost consciousness.</i>	<i>To report assault of First Officer to State marine and port security agency. To arrange for medical treatment for the First Officer of MV YHN.</i>
028	1545	Low Control	<i>Security team 4 reports the SSO says MV YHN did not order any welding gas, and they cannot find any welding gas cylinders on board.</i>	<i>To direct Security team 4 to search the Port Facility's Restricted Area</i>
029	1600	Low Control	<i>Security team 4 reports finding the welding gas cylinders scattered along the road outside a warehouse with highly flammable cargo stored in it</i>	<i>To direct Port Facility fire services to respond. To inform State marine and port security agency.</i>
030	1610	Low Control	<i>Mechanic reports that he saw the truck going fast around a bend and the cylinders falling off, then the truck raced off without stopping</i>	<i>To address issues and follow-up measures</i>
031	1615	Chief Control	<i>End of exercise</i>	<i>Participants to summarize what they thought had happened.</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.



ACCESS CONTROL PLAN - EXAMPLE

References:

- A. *Port Facility Security Plan*
- B. *ISPS Code Part B sections 16.10 to 16.29*

ORGANISATION

- 1. *The organization for security duties is given in **Annex A**.*

INTRODUCTION

2. Current Situation

The security threat situation is serious, with civil unrest and demonstrators challenging the State authorities on many issues and over many fronts. Demonstrations have turned ugly, and rebel elements have announced their intentions to subvert the economy in order to topple the government. They plan to attack infrastructure, transportation and commercial interests known to have links to, or who support the government.

3. Port Facility Premises

- a. *The Port Facility premises comprise the area bounded by the sea in the north, Westport Road in the south, TYR Shipyard in the east, and GFD Power Station to the west. It covers an area of 1.5 hectares.*
- b. *Four 50m wide wharves line the north shore, connected to land by piers that will support 300 tons point load. Each berth can take one 12,000 dwt ship alongside*
- c. *Offshore Port Facility property includes 8 dolphins for ship berthing and discharge of liquid cargo.*

4. The Threat

The State Designated Authority and Maritime Police Force have advised that in addition to the maritime security threats to business operations listed in the ISPS Code, the potential threat to Port Facilities at this time includes terrorist attacks on ships in port in order to hijack a suitable ship to be used as a weapon. Suicide bombers against human targets may also be expected, although it is not expected to be of special significance to this Port Facility. Careful, extended surveillance by the terrorists may be expected prior



to any attack. See *Annex B* (not included) for the intelligence summary provided by the Designated Authority.

5. **Existing Port Facility Security Arrangements**

a. Security Level 1 Arrangements

(1) **Physical Security**

(a) A 1.8m tall wall separates GFD Power Station from the Port Facility. A 2.4m chain link fence topped with barbed wire forms the southern and eastern perimeter. The chain link fence is in very poor condition, with numerous temporary repairs. See *Annex C* (not included) for the perimeter fence/wall plan.

(b) There are 3 entrances to the Port Facility. Gate 1 is the Main entrance, situated in the southern-western corner of the south fence. Gate 2 is also in the south fence, in the south-eastern corner of the south fence. Personnel may also enter the Port Facility via the passenger boat pier.

(c) Surveillance video cameras cover the following areas:

- i. Perimeter fence line and inside of the wall
- ii. All wharves and piers
- iii. Restricted Area
- iv. Control Room
- v. All gates
- vi. Liquid cargo pump room
- viii. Power sub-station
- ix. Administrative office lobby

(d) The cameras along the fence line provide full coverage but cannot zoom in, so some areas have a very distant view. The video surveillance system is subject to frequent breakdowns. These affect the individual cameras, the main camera control system and the monitors. They are repaired by the maintenance contractor as and when required. Repair work has often been slow, and some repair work has taken up to 5 weeks to be done.

(e) Street lamps provide security lighting at all perimeter fences, walls and wharf areas. Street lamps also provide security lighting along internal roads. Dolphins are unlit. The lighting plan is given in *Annex E* (not included).



(f) *There is an emergency alarm system that is activated from the Control Room and may be heard from anywhere within the Port Facility. This alarm works off the public address system. However, the public address system is prone to breakdowns.*

(2) **Security Procedures**

(a) *Employee access is by a permanent pass system. Employees must display the pass when in the Port Facility premises. Visitor access is by exchange of their personal identification document for a Port Facility Visitor Pass. Visitor passes are issued at the main entrance upon request with valid reasons.*

(b) *Entry via the passenger boat pier is by special arrangement, as the boat pier is not manned. This is usually used by the crew and agents of ships alongside at the dolphins.*

(c) *Employee and Port Facility vehicle access is by a permanent car label. Visitors' motorcars are not granted access except by special arrangement. Truck and goods vehicle access is by temporary vehicle pass. Vehicle passes are issued at the main entrance. Visual vehicle contents checks are carried out at random.*

a. Security Level 2 Arrangements

(1) **Physical Security** – *In addition to the Security Level 1 measures,*

Employee access via Gate 2 will cease. Gate 2 may still be used for trucks and goods vehicles, by special arrangement.

(2) **Security Procedures** – *In addition to the measures for Security Level 1,*

(a) *Perimeter patrol frequency will be increased by 50%.*

(b) *All personal bags and luggage will be subject to visual inspection. 10% of these bags, taken at random, will be examined in detail.*

(c) *All trucks and goods vehicles will undergo inspection of their contents.*



b. Security Level 3 Arrangements

*(1) **Physical Security***

(a) At Security Level 3, pedestrian and vehicle access for employees to/from the Port Facility will be by the main gate only. All other gates will be locked.

*(b) Four temporary barriers will be placed on the road at the main entrance to restrict the flow of traffic, so as to deter sudden forced entry by vehicles. See **Annex D** (not included) for the temporary barrier layout plan and photographic illustration of the barriers.*

*(c) A manned searchlight will be located at security Tower H as shown on the plan at **Annex E**. It will be used to cover the sea approaches to the wharves, as well as some areas within the Port Facility.*

*(2) **Security Procedures***

(a) All leave and off-duty periods for security personnel will be suspended.

(b) Perimeter patrol frequency will be increased by 100% from the Security Level 1 condition.

(c) A permanent guard will be stationed at the entrance to the Restricted Area and wharves.

(d) An Incident Response Security Team will be formed and placed on standby to provide reinforcements where required

(e) Visitor access is not permitted except with permission from top management.

*6. **Port Facility Security Resources***

*a. **Manpower** - The Port Facility employs 19 Security Guards, 7 Security Supervisors and 2 Senior Security Supervisors. They are deployed on an 8-hr shift system according to the organization in the chart at **Annex A**.*



- b. *Police - The PFSO has established regular communications with the State Police responsible for the area, and the State Maritime Police forces patrolling the waters offshore from the Port Facility.*

TASK

7. *The task of the Port Facility's security force is to enforce access control to Port Facility premises and any other special zones within the Port Facility as determined, in order to preserve the integrity of the Port Facility's security.*

CONCEPT OF OPERATIONS

8. *All proposed arrangements are to be read as additional to existing measures and procedures.*

a. *Security Level 1 Arrangements*

(1) ***Physical security***

(a) *The existing fence is to be replaced with a new 3m fence, topped with razor wire. Budget permitting, a double fence line is recommended.*

(b) *The video surveillance system should be overhauled and a new control system installed. Faulty video cameras for the surveillance system are to be replaced. Cameras with PTZ (pan, tilt and zoom) function should be installed at the fence line to provide 100% coverage of the perimeter fence line and inside of the wall and Restricted Area. Cameras substituted with new PTZ cameras will replace existing faulty cameras and/or be kept as spare units. See **Annex F** (not included) for the locations and list of cameras to be replaced.*

(c) *The contractor for the repair and maintenance of the video surveillance and alarm systems will be required to meet minimum performance requirements. It is proposed that the contractor should meet the following targets:*

- i. *Response time - maximum of 8 hours*
- ii. *Repair time - maximum of 24 hours*



(d) *Floodlights are to be installed to provide security lighting for the Restricted Area and wharves. See **Annex G** (not included) for the lighting plan.*

(e) *The Public Address system should be refurbished, with new speakers to replace those not functioning.*

(2) **Security Procedures**

Inspection of the contents of employee vehicles will be carried out randomly on 20% of the vehicles.

b. Security Level 2 Arrangements

(1) **Physical security**

*Two temporary barriers will be placed on the road at the main entrance to restrict the flow of traffic, so as to deter sudden forced entry by vehicles. The temporary barrier layout will be similar to the existing Security Level 3 plan in **Annex D** (not included), except that only 2 barriers will be used.*

(2) **Security Procedures**

(a) *Visitors without prior appointments will not be permitted, unless accepted on-the-spot by an employee who must be of management-level.*

(b) *Inspection of the contents of employee vehicles will be carried out randomly on 50% of the vehicles.*

c. Security Level 3 Arrangements

(1) **Security Procedures**

(a) *Inspection of the contents of all vehicles will be carried out.*

(b) *Undercarriage inspection mirrors will be provided and used to supplement the vehicle inspections.*



TASK TABLE

9. Security staff will man entrances and conduct 24 hr perimeter and waterside facility patrols during Security Levels 1, 2 and 3 in accordance with the Task Table at *Annex H*.

SUPPORTING OPERATIONS

10. Police land patrols operate regularly along Westport Road. Police have advised that patrols will be stepped-up at Security Level 2. At Security Level 3, State security forces will be present.

11. The Maritime Police Force patrols in the sea area off the Port Facility. They have advised that sea patrols will be stepped up progressively at Security Levels 2 and 3, but do not provide details of the patrol lines or timing, citing security reasons.

12. Police may be called for backup if suspicious persons/objects are found in the Port Facility.

RULES OF ENGAGEMENT

13. Port Facility security forces are not authorized to use force or firearms in the performance of their duties. Any restraint or detention of suspicious persons or objects must be done with the acquiescence of the individual concerned, and must be followed-up with a report to the Police and handing over to the authorities.

COORDINATING INSTRUCTIONS

14. The arrangements in this plan serve as a proposal to management for the revision of the security measures and procedures relating to access control, and maintenance of the integrity of the security arrangements relating to access. All coordination issues should be referred to the PFSO for resolution.

SUPPORTING SERVICES

15. Finance has suggested that the budget for the proposed refurbishment of the physical security measures may be available from an extraordinary surplus of \$xxx from the recent hike in wharf service charges.



16. *Engineering is able to undertake the specification and supervision of the tender for the refurbishment.*

COMMUNICATIONS

17. *The PFSO will be the single point of contact between the Port Facility and supporting forces*

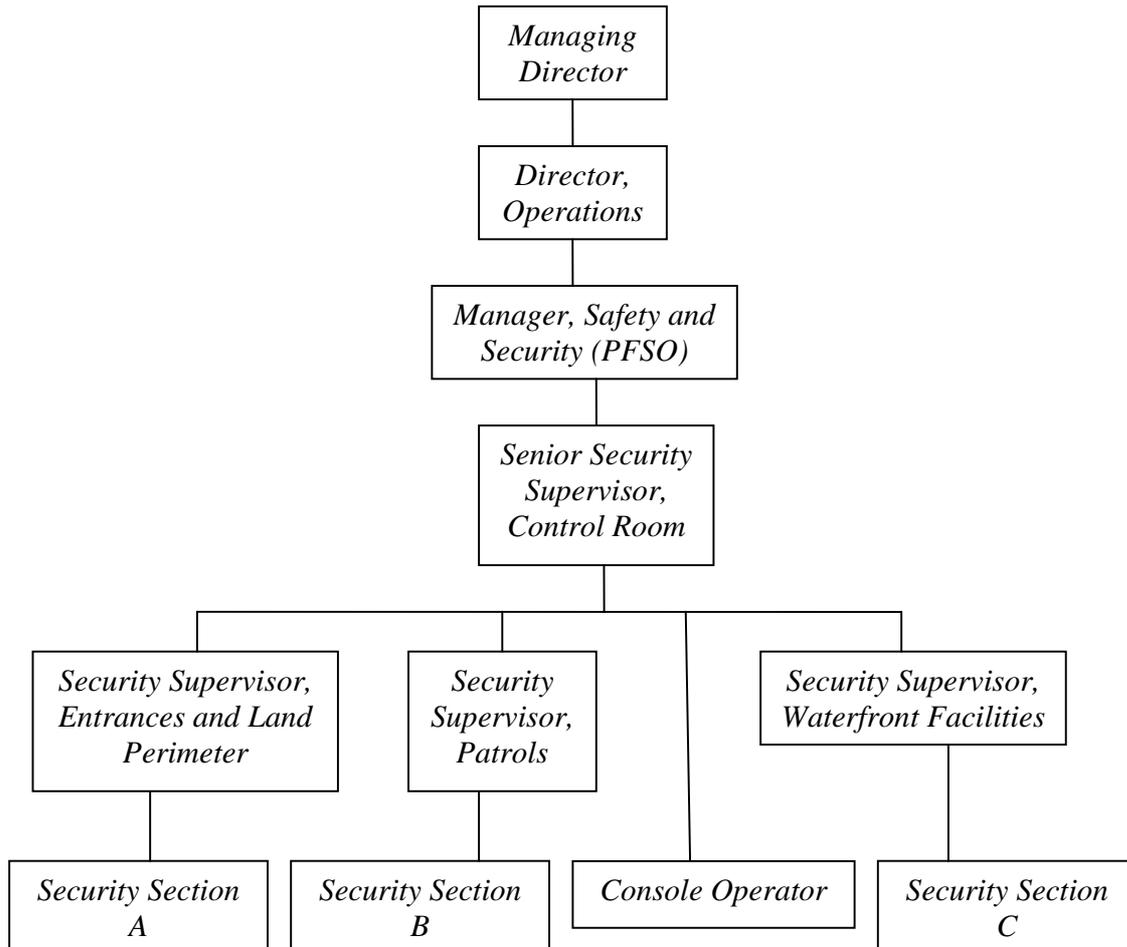
18. *There are no changes to the standard communications plan at the Port Facility, given in **Annex I** (not included).*

Annexes:

- A. *Security Organization*
- B. *Intelligence Summary by Designated Authority (not included)*
- C. *Port Facility Layout (not included)*
- D. *Barrier Layout Plan (not included)*
- E. *Current Lighting Plan (not included)*
- F. *Surveillance Camera Plan (not included)*
- G. *Proposed Lighting Plan (not included)*
- H. *Task Table*
- I. *Communications Plan (not included)*



SECURITY ORGANISATION



Notes:

1. *Security Sections are nominally under each Security Supervisor for administrative purposes only.*
2. *Under Security Level 1 and 2 conditions, the 3 security sections will rotate duties, coming directly under the Senior Security Supervisor in the Control Room.*
3. *Security Sections are divided into Teams for the various security tasks.*



TASK TABLE

LOCATION	TASK	SECURITY LEVEL		
		1	2	3
<i>Control Room</i>	<i>Console operation</i>	<i>Console operators</i>	<i>Console operators</i>	<i>Console operators</i>
<i>Gate 1</i>	<i>Access control, pass issue, vehicle checks</i>	<i>Section A, Team 1</i>	<i>Section A, Team 1</i>	<i>Section A, Team 1</i>
<i>Gate 2</i>	<i>Access control, vehicle checks</i>	<i>Section A, Team 1 (peak hours only)</i>	-	-
<i>Perimeter fence, wharf</i>	<i>Patrol</i>	<i>Section A, Team 2</i>	<i>Section A, Team 2 Section B, Team 2</i>	<i>Section A, Team 2 Section B, Team 2</i>
<i>Boat Pier</i>	<i>Access control</i>	<i>Section A, Team 2 (when required)</i>	<i>Section A, Team 2 (when required)</i>	-
<i>Restricted Area</i>	<i>Patrol, access control</i>	<i>Section A, Team 2</i>	<i>Section A, Team 2</i>	<i>Section A, Team 2</i>
<i>Observation Tower</i>	<i>Surveillance</i>	-	<i>Section A, Team 2</i>	<i>Section A, Team 2</i>
<i>Stand-by Force</i>	<i>Rapid response</i>	-	-	<i>Section C, Team 1</i>
<i>etc.</i>				



EXAMPLE REPORT

REPORT ON THE CONDUCT OF SECURITY EXERCISE FE23

INTRODUCTION

1. *Exercise FE23 from the APEC Manual of Maritime Security Drills and Exercises Volume II Part 2 was conducted by this Port Facility from 17 to 18 Dec XX. The exercise focused on the measures and procedures for access control at 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. *PFSO – Mr. PLK*
- b. *Security Supervisor*
etc.

EXERCISE OBJECTIVE

5. *The exercise was planned to undertake a comprehensive review of the Port Facility's access control measures and processes, 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 access control measures and procedures, and an execution phase practiced the command, control and communications*



for access control 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 access control measures.

LESSONS LEARNT & RECOMMENDATIONS

- 7. The perimeter fence is in poor condition and should be replaced. The cost-effective option would be to replace the existing chin-link fence.*
- 8. The video surveillance system should be refurbished, and new PTZ cameras installed at the fence line to enhance the surveillance capability. The surveillance system maintenance contract should be revised to provide for minimum performance standards.*
- 9. The alarm system needs to be overhauled, and new speakers installed to replace those not functioning.*
- 10. Vehicle undercarriage inspection mirrors should be acquired.*
- 11. Access control procedures for inspection of vehicles entering will be revised to include specific minimum search quotas for each Security Level.*

FOLLOW-UP ACTION

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

CONCLUSION

- 13. The access control exercise has been a successful platform for the review of the means and processes by which this Port Facility maintains access control. The exercise brought together the stakeholders with accountability for the task, both directly and indirectly to work on the issues affecting the access 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.*



Exercise	FE24
Category	Port Facility Exercises
Type	Cargo and Ships' Stores
Security Level	1 and 2
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Vol II Part 1 – Guidelines for the Conduct of Maritime Security Exercises 4. ISPS Code Part A sections 14.2, 16.3 and Part B sections 15.7, 15.11, 16.8, 16.9 and 16.30 to 16.44

INTRODUCTION

1. By their sheer volume and frequency, the movement of cargo and ships' stores constitute the biggest challenge to Port Facility security. Moreover, cargo is not homogenous, with a huge variety in the nature of goods passing through Port Facilities, ranging from bulk ore to liquids, from vehicles to timber. Even those that may be considered uniform in nature, such as containers, present their own set of problems. Containers introduce inherent difficulties and expense in screening them speedily. Without the availability of a VACIS gamma-ray scanner, even the selective inspection of containers becomes a hit-and-miss affair. On the whole though, containers are vastly more secure than any other previous means of conveying break bulk cargo.

2. In their respective operating procedures, Port Facilities must make the best of their capabilities to enforce effective security in the handling of cargo and ships' stores, the primary concern being the movement of large amounts of contraband arms and explosives.

3. This exercise will require participants to examine their cargo and ships' stores handling processes and equipment. The exercise should also include external agencies involved in the handling of cargo and ship stores in order to obtain a holistic picture of security for the entire process. It will include a tabletop simulation in the execution phase, during which participants will respond to the injects and note any associated incidents (or new incidents) that may have an impact on cargo and ship stores security that may not have been previously considered. 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

4. The aim of this exercise is to practice personnel in the handling of cargo and ship stores security in order to enhance their competence in managing the maritime security task.
5. The principal objectives are:
 - a. To examine the cargo and ship stores handling processes and equipment from a security perspective and formulate procedures and/or recommend equipment to enhance security in the handling of cargo and ship stores.
 - 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, new processes or equipment for the enhancement of security in the handling of cargo and ship stores should be addressed in procedures, or revisions to procedures in the PFSP.

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 may be limited to 2 or 3 persons. Should it be desired to make it a full scale or live exercise by incorporating one or more drills, then the control team recommended for the drills may be nominated as well. It should not be necessary to duplicate the teams for each drill incorporated.

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

(3) Other controllers required are:

- (a) One higher controller (Operations)
- (b) One lower controller (possibly a Senior Security Supervisor)

c. Participants

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

- (a) Port Facility Security and/or Safety Manager
- (b) Port Facility Security Officer (PFSO)
- (c) Logistics manager
- (d) At least one administrative staff member

(2) In addition, some stakeholders in the preparation and movement, and security of cargo and ship stores to the Port Facility should be invited to participate in the planning phase. This will include shippers, packers, transportation, and security company representatives.

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 forces, teams, 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 relatively stable country facing an increasing maritime security threat to ports and Port Facilities from criminal activity disguised as religious militancy. 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. In the first (planning) phase of the exercise, participants are expected to discuss the maritime security threats to cargo and ship stores both within and beyond the immediate responsibility of the Port Facility. The details of the discussion are provided in the convening advice for the meeting at [Appendix 4](#).
- b. Various planning processes and methods are available to formulate a plan for handling the security measures for cargo and ship stores at the Port Facility. These generally provide a systematic framework for planning a task or operation. The following may be considered:
 - (1) The guidelines provided in ISPS Code Part B sections 15 and 16.
 - (2) The “Threat Evaluation and Risk Assessment” methodology advocated in IMO familiarization courses on the ISPS Code.
 - (3) Any other evaluative methodology e.g. ISO DIS 20858 on Ships and Marine Technology — Maritime port facility security assessments and security plan development.
- c. 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. If possible, a copy of that part of the report pertaining to the discussion should be extended to the external participants.

12. Master Events List

- a. A non-exhaustive Master Events List for this exercise is given in [Appendix 5](#). The EPCT should add to or delete injects given in this list as required.
- b. 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.
- c. The injects should seek to test:
 - (1) The means and procedures relating to security measures for cargo and ship stores.



- (2) Command, control and coordination procedures and processes.
 - (3) Communications channels and procedures.
- d. Some topics that may be considered for injects for cargo and ship stores security measures are:
- (1) Containers with broken or missing seals.
 - (2) Cargo and ship stores do not match bill of lading or delivery order.
 - (3) Tampering with cargo and ship stores.
 - (4) Contraband in cargo and ship stores.
 - (5) Hijacking or pilferage of cargo and ship stores.
 - (6) Weapons and explosives in cargo and ship stores.
 - (7) Attack by personnel hidden in containers.
- e. 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.
- f. 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.
- g. 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 preventive measures 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 6](#).

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:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
	<i>Exercise</i>	<i>Port Facility exercise</i>	<i>FE24 – Cargo and Ships’ Stores</i>	<i>PF/101/08-FE24 dated xx/yy/yyyy</i>



FE24 TIME-TABLE FOR PLANNING

DAYS TO EXERCISE	DATE	EVENT	CHECK
D -60	(calendar	Confirm the exercise date Request participation in the exercise	
D -30	dates to be	Confirm budget availability for items and/or services to be employed during the exercise Review Volume II Part 1 - Guidelines for the Conduct of Maritime Security Exercises	
D -27		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.

CODE WORD	MEANING
Exercise Trojan Horse	Exercise name (example only)
Exercise Start	The exercise is to commence
Exercise Suspend	The exercise is temporarily suspended
Exercise Go	The exercise is to resume from where it was suspended
Exercise Stop	The exercise is to be terminated (prematurely)
Exercise End	The exercise is completed
For Exercise	The message or statement that follows this preamble relates to the exercise only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the exercise e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."



FE 24 SCENARIO SYNOPSIS

NARRATIVE NO. 1

General Security Situation

1. *A booming economy has led to unprecedented levels of wealth in the country. All sectors of the economy are performing reasonably well, in particular the commodities sector with record prices for its agricultural produce. Earlier moves to industrialization had worked well to provide factory jobs for its urban population, but many of these were in multi-national companies based in the developed nations, and when cheap labor became available elsewhere, they have either re-located, or downsized their operations, leaving many unemployed. Some have migrated successfully to service industries like tourism, but with many unable to make the transition to higher value-added work, the level of unemployment is currently quite high.*

2. *The government has become a significant “employer of last resort”, and as a result is able to offer a fairly high level of public services. Competencies however, are relatively low and corruption is rife. There is an undercurrent of dissatisfaction despite a veneer of prosperity, and a rising tide of religious fundamentalism being used by radicals to further their personal agendas. These manipulators, with profit as their sole objective, have seized the opportunity to engage in religious militancy as a cover for a wide range of illicit activity, from petty thievery to drug peddling, extortion, kidnapping and murder.*

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. Militancy has come to port workers and there have been a few cases of cargo being deliberately destroyed by dockworkers in disputes over pay and working conditions. Port Facilities have also suffered from the hijacking of cargo and ships stores awaiting delivery being stolen from their premises.*

4. *In view of the increase in the maritime security threat against cargo, the Designated Authority has asked all Port Facilities to perform an immediate review of their cargo and ship stores handling operations and procedures in preparation for a Workshop it intends to convene among stakeholders to address the situation.*



Appendix 4

FE24 - EXAMPLE CONVENING ADVICE

Port Facility address

Date:

To: See Distribution List

PORT FACILITY SECURITY EXERCISE

Reference: ISPS Code Part A section 18.4 and Part B section 18.6

INTRODUCTION

1. *This Port Facility will be conducting a maritime security exercise on date from 0900 to 1630, as part of our obligations to the International Ship and Port facility Security (ISPS) Code. The exercise this year will focus on the security of cargo and ship stores. The first part of the exercise, to be conducted from 0930 to 1200, will be a meeting of stakeholders in the cargo and ship stores handling process to review the security threats, preventive measures and responses to security incidents in relation to the preparation, packaging, transportation and handling of cargo and ship stores.*

2. *The discussion will be conducted in accordance with the agenda below. Your company's participation with a suitable representative to take part in the discussion and exercise would be greatly appreciated. On completion, the Exercise Director will host lunch at the VIP Upmarket restaurant nearby.*

3. *Agenda*

a. Introduction to the Port Facility including briefing on Port Facility operations and tour.

b. General situation and assessment

c. Threat assessment

(1) Containers with broken or missing seals.

(2) Cargo and ship stores do not match bill of lading or delivery order.



- (3) *Tampering with cargo and ship stores.*
- (4) *Contraband in cargo and ship stores.*
- (5) *Hijacking or pilferage of cargo and ship stores.*
- (6) *Weapons and explosives in cargo and ship stores.*
- (7) *Attack by personnel hidden in containers.*
- (8) *Any others.*

d. Preventive measures

- (1) *Security checks of containers.*
- (2) *Security checks before and during packing.*
- (3) *Tamper-proof locks.*
- (4) *Armed escort for high-value cargo.*
- (5) *Handing-over procedures.*
- (6) *Scanning and other equipment.*
- (7) *Security in the Port Facility.*
- (8) *Any others.*

e. Responses to incidents

- (1) *Upon discovery of an incident at the respective check points.*
- (2) *During transportation.*
- (3) *Cargo and ship stores security checking equipment, including maintenance and repair.*



- (4) *Procedures and processes.*
 - (5) *Interaction with ships on cargo and ship stores security issues.*
 - (6) *Any others.*
- f. *Any other matters.*

Signed
Mr. XXX
PFSO

Distribution (external):

General Manager, AAA Shipping Company Ltd
General Manager, BBB Containerization and Packaging PLC
General Manager, CCC Prime Movers Transportation PLC
General Manager, DDD Ship Chandlers Pty
General Manager, EEE Security Services PLC

Distribution (internal):

CEO
Director, Operations
Senior Manager, Safety and Security

**FE24 MASTER EVENTS LIST**

SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
<i>Date:</i>				
001	0900	<i>Exercise Director</i>	<i>Welcome speech and brief on the exercise</i>	<i>Attend</i>
002	0910	<i>High Control</i>	<i>Issue of Narrative No. 1</i>	<i>Read</i>
003	0915	<i>Exercise Director</i>	<i>Tour of port Facility</i>	<i>Attend</i>
004	0945	<i>Exercise Director</i>	<i>Meeting commences</i>	<i>Discuss cargo and ship stores issues</i>
005	1330	<i>Low Control</i>	<i>Container entrance security reports a container with seal broken</i>	<i>To order and supervise appropriate procedure</i>
006	1345	<i>Low Control</i>	<i>Container entrance security reports all in order with container with broken seal.</i>	<i>To prepare reports to shippers and transporters as required</i>
008	1350	<i>High Control</i>	<i>Container operations reports that a container scheduled to arrive at the Port Facility has not turned up, and loading will be affected</i>	<i>To enquire with shippers</i>
009	1410	<i>High Control</i>	<i>Shipper has contacted transporters and there is no trace of the container or the transporters prime mover</i>	<i>To advise shippers to make a Police report</i>
010	1415	<i>Low Control</i>	<i>Police report a shipment of cocaine among other goods in a container</i>	<i>To facilitate Customs and Police search for container</i>
011	1425	<i>Low control</i>	<i>Truck carrying ship stores for MV GGG granted access</i>	<i>To inform MV GGG of truck arrival</i>



SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
012	1435	High Control	<i>MV GGG reports ships stores did not arrive</i>	<i>To commence search of Port Facility</i>
013	1445	Low Control	<i>Truck found parked near canteen. Driver and his partner say they stopped for a drink</i>	<i>To inform MV GGG. To address PF routing of vehicles within the Port Facility and permissible actions of driver and partner with the transport company</i>
014	1525	High Control	<i>Ship chandler reports that they have received a complaint from MV GGG about short delivery of sugar and coffee in the ship stores, but correct amounts were dispatched</i>	<i>To investigate Port Facility canteen operator's supplies</i>
015	1530	Low Control	<i>Police dogs trace container and cocaine is found</i>	<i>To coordinate with Police on the report</i>
016	1535	Low Control	<i>In-coming cargo of farm machinery in container screened and suspected to contain weapons</i>	<i>To liaise with shipper and Customs and order check</i>
017	1545	Low Control	<i>Cargo confirmed to contain undeclared automatic rifles and ammunition, including rocket propelled grenades</i>	<i>To hand over to Police and Customs for investigation</i>
018	1550	Low Control	<i>Security Patrol reports container with broken seal</i>	<i>To verify contents against cargo manifest. To determine if seal was reported broken by Container entrance security</i>
019	1600	High Control	<i>Report indicates possible terrorist action against a ship at the Port Facility</i>	<i>To order Security Level 2 measures</i>
020	1610	Low Control	<i>Container entrance security reports new refrigerated container being delivered for cruise liner MV HHH</i>	<i>To scan container with VACIS or other means</i>
021	1615	High Control	<i>Operations confirms items missing from container</i>	<i>To report to shipper, insurer, Police</i>



SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
022	1625	<i>Low Control</i>	<i>VACIS shows at least 15 persons inside the refrigerated container for MV HHH</i>	<i>To alert State security forces</i>
023	1700	<i>High Control</i>	<i>State security forces advise hoisting the refrigerated container and opening container doors in mid-air</i>	<i>To comply</i>
024	1715	<i>High Control</i>	<i>15 terrorists surrender. They had intended to break out from the container when the liner is at sea and hijack it</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 FE24

INTRODUCTION

1. *Exercise FE24 from the APEC Manual of Maritime Security Drills and Exercises Volume II Part 2 was conducted by this Port Facility on date. The highlight of the exercise was a multi-lateral brain-storming session to discuss the maritime security threats to cargo and ship stores within the Port Facility, as well as in the packing and transportation to the Port Facility. Subsequent to the exercise, the PFSP will be updated to incorporate the findings and lessons learnt from the discussions and the conduct of the tabletop simulation that followed.*

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/High Controller – Mr. _____ Deputy Director, Operations*
- c. *Low Controller - Mr. _____ Assistant Manager, Port Services*

4. *Exercise Participants*

a. *Phase I - Discussion*

- (1) *Mr. _____ Operations Manager, AAA Shipping Company Ltd*
- (2) *Mr. _____ Manager, Safety and Security, BBB Containerization and Packaging PLC*
- (3) *Mr. _____ Operations Supervisor, CCC Prime Movers Transportation PLC*
- (4) *Mr. _____ Manager, Business Development, DDD Ship Chandlers Pty*
- (5) *Mr. _____ General Manager, EEE Security Services PLC*
- (6) *Mr. _____ Director Operations*
- (7) *Mr. _____ Manager, Safety and Security*
- (8) *Mr. _____ PFSO*
- (9) *Mr. _____ Chief Security Supervisor - Secretary*



b. Phase II – Tabletop simulation

- (1) Mr. _____ *Manager, Safety and Security*
- (2) Ms. _____ *Manager, Training*
- (3) Mr. _____ *PFSO*
- (4) 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 threats to cargo and ship stores, and to practice the command, control, coordination and communications for security activities both within and beyond the Port Facility.*

FORMAT

6. *Phase I of the exercise, the planning phase, was conducted as a brain-storming session involving this Port Facility's strategic partners and fellow stakeholders in the security of cargo and ship stores. The discussion itemized the range of security threats faced by cargo and ship stores during the packaging, transportation, delivery, storage and loading processes. The meeting then went on to address the preventive measures that may be employed to lessen the threat and the possible responses to mitigate the consequences of any security incident affecting cargo and ship stores.*

7. *In the second phase, the exercise was executed as a tabletop simulation, with the controllers issuing injects, and participants responding as required. Participation during this phase involved only Port Facility personnel. 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 incidents, preventive measures, techniques or responses 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. **Pilferage by Port Facility employees and contractors such as canteen operators***

- (1) *The Port facility will work with shippers and transportation companies to reduce the idle time that cargo spends in the Port Facility waiting to be loaded on ships or transported away. This will reduce the opportunities for tampering and pilferage of cargo.*



(2) *Further measures were developed to reduce the opportunity for cargo manifests to be leaked to persons not authorized to receive it. This will prevent high-value cargo from being identified and become a target for pilferage. The measures will be tested and incorporated into the PFSP if validated.*

b. The use of dogs against drugs, explosives and other contraband

This Port Facility has only employed guard dogs for patrol and security duties. The reported success of Police dogs in locating illegal drugs is well-known. However, the examples provided by Mr. _____ from EEE Security Services PLC supporting the effectiveness of dogs from his experiences suggests that this Port facility should consider the acquisition of sniffer dogs for the detection of drugs, explosives and other contraband.

c. Armed insurgents as cargo or ship stores

(1) *Large cruise liners with a big demand for foodstuff may use refrigerated containers for efficiency in food supply. Such containers may be vulnerable to hijack and exchange of contents for armed terrorists. Refrigeration is easily set to comfortable temperatures, and transit times are short. Once aboard, the insurgents only have to bide their time to emerge.*

(2) *Such containers should be carefully tracked from point of origin to destination. If intelligence reports indicate a high probability of an attack on a cruise liner, unmarked escorts may be employed.*

(3) *At the Port Facility, gamma-ray screening of such containers should be employed routinely, if available.*

(4) *If, as depicted in the injects, armed terrorists are detected without their knowledge, hoisting the container in mid-air is an intervention that may serve to minimize resistance to capture.*

FOLLOW-UP ACTION

9. *The PFSO will present the recommendations to management for endorsement and revise the PFSP to incorporate the measures that may be employed to reduce the threat and the possible responses to mitigate the consequences of any security incident affecting cargo and ship stores.*



CONCLUSION

10. *The exercise has been a successful platform for the review of the means and procedures by which this Port Facility prevents and responds to security incidents affecting cargo and ship stores. The exercise brought together the stakeholders from this Port Facility's partners in the handling of cargo and ship stores, and Port facility principal staff to work on the issues affecting the security measures. The recommendations should be implemented promptly in order to realize the benefits from enhanced Port Facility security for cargo and ship stores.*



Exercise	FE25
Category	Port Facility Exercises
Type	Interfacing with ship security activities
Security Level	1 and 2
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Vol II Part 1 – Guidelines for the Conduct of Maritime Security Exercises 4. ISPS Code Part A section 5, 7.6 – 7.7.1, 17.2.13 and Part B sections 4.36 – 4.44, 5, 16.55

INTRODUCTION

1. A port is traditionally a safe haven for a ship from navigation, weather and security threats. It is therefore incumbent on Port Facilities to afford the best protection possible to the ship from maritime security threats. Ships calling at Port Facilities too, have a role to play in port security by being free of security threats.

2. While Port Facilities see ships/vessels come and go continually, quite often a clear understanding of ship security issues may be lacking among Port Facility security personnel. Some knowledge of ship security on the part of Port Facility personnel can go far towards an understanding of the threats faced by ships and the counter-measures employed by them against those threats. By the same token, a ship's knowledge of the Port Facility's security measures will help it understand the maritime security challenges faced and the preventive measures undertaken by the Port Facility, thereby providing the ship with reassurance of its security in port. The dialogue that such an interaction engenders is in itself a valuable avenue for constructive appreciation of each others maritime security situation.

3. The ISPS Code has required ships and ports of contracting governments to interact on security issues with the need to be at least aware of the Security Levels maintained by each. This exercise proposes to answer the need for even greater understanding in that Port Facility security personnel should conduct a ship visit in the first phase of the exercise, in order to obtain first-hand knowledge of its security measures. This will be followed by the tabletop simulation in which injects will be introduced on interfaces with ships to elicit ship, Port Facility and shipping company participants' responses. The benefit to the ship is that its exercise requirements under the ISPS Code are also met with this exercise.



AIM OF THE EXERCISE

4. The aim of this exercise is to practice Port Facility personnel in interactions with ships in relation to security in order to enhance their competence in managing the maritime security task.
5. The principal objectives are:
 - a. To provide familiarization training in ship security systems.
 - b. To validate the Port Facility's procedures for interfacing with ships on maritime security.
 - c. To practice the command, control, coordination and communications for security activities both within and beyond the Port Facility.

REQUIRED ATTAINMENTS

6. On completion of the exercise, participants will be able to:
 - a. Identify and explain the main characteristics of ship security systems.
 - b. Interface successfully with ships on maritime security matters.
 - c. Implement measures and procedures not previously covered in the PFSP for interfacing with ships, but that may arise as a result of the exercise.

PLANNING FOR THE EXERCISE

7. **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 12 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](#).



8. 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 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.

(2) Other controllers required from the Port Facility are:

- (a) One higher controller (Operations)
- (b) One lower controller (possibly a Senior Security Supervisor)

(3) The Designated Authority or State agency responsible for monitoring SSAS alerts should be represented if possible. Otherwise, their participation will have to be simulated.

(4) Should the participating ship take the opportunity to conduct a maritime security exercise in conjunction with the Port Facility's exercise, an officer from the shipping company should be included in the control team.

c. Participants

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

- (a) Port Facility Security and/or Safety Manager
- (b) Port Facility Security Officer (PFSO)
- (c) Logistics manager
- (d) At least one administrative staff member



- (2) The following personnel from the ship should participate:
 - (a) Company Security Officer (CSO)
 - (b) Ship Security Officer (SSO)

9. Demonstration of Ship Security Systems

- a. The principal feature of this exercise is the visit to the ship by Port Facility staff and demonstration of the ship’s security systems. Arrangements must be made with the shipping company and the ship for the demonstration.
- b. The suggested equipment for the demonstration is given below. The SSO should explain how the equipment is used to enhance ship security:

S/NO	ITEM	DISPLAY	DEMO
1	Ship Security Alert System (SSAS)	✓	-
2	Automatic Identification System (AIS)	✓	✓
3	Anti-boarding fences	✓	-
4	Radar	✓	✓
5	Firemain system	✓	✓
6	Video surveillance system	✓	✓
7	Flare guns	✓	-
8	Searchlight	✓	✓
9	GPS	✓	-
10	Communications means	✓	-
11	Decklights	✓	-
12	Ship’s horn	✓	-

- (1) Display - Staff may view and handle the items.
- (2) Demonstration – A practical demonstration on the use of the item, including operating it.

10. Resources

- a. Location
 - (1) Planning and control room for the controllers.
 - (2) Planning Room for participants.



- (3) Control Room or Operations Room for the execution phase of the exercise. If the Port Facility has a control or operations room, this should be used. Care should be taken to ensure there is no interference or confusion with normal Port Facility operations.
- (4) Conference Room for the presentation of the proposals to management.
- (5) Ship for the conduct of shipboard security systems familiarization.

b. Communications

(1) **Equipment**

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

(2) **Code Words**

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

(3) **Security**

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

c. Other requirements

(1) Equipment for the planning phase

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



- (e) Stationery
 - (2) The ship should make ready and available its on-board security systems.
 - (3) Equipment for the execution phase will be as per the planning phase, plus standard Control or Operations Room equipment e.g.
 - (a) Status Boards
 - i. Operations status
 - ii. Deployment of forces, teams, personnel, vehicles, vessels, etc.
 - iii. Logistics status (fuel, water, supplies, breakdown & repair, etc.)
 - iv. Personnel status (manning, casualties, etc)
 - (b) Log and Record Books
 - i. Operations Log
 - ii. Communications Log
 - iii. Incident Log
 - (3) Victuals and refreshments

11. Management endorsement

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

CONDUCTING THE EXERCISE

12. Scenario

A scenario synopsis or narrative will be issued to initiate the tabletop simulation. The fictitious scenario depicts a situation of increasing unrest in the country with a consequent rise in the maritime security threat to ships and Port Facilities. The example of a narrative is provided in [Appendix 3](#).



13. Master Events List

- a. During the execution phase of the tabletop simulation exercise, injects from the Master Events List will be introduced by the controllers for responses to be made by participants. 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.
- b. The Chief Controller should monitor the development of the situation closely, and be prepared to introduce injects to further test any initiatives or measures that may arise during the tabletop simulation.
- c. In general, injects should seek to test:
 - (1) Command, control and coordination procedures and processes
 - (2) Communications channels and procedures.
- d. Some topics that may be considered for injects on interfacing with ship security activities are:
 - (1) Monitoring and verification of ship and Port Facility Security Levels.
 - (2) Monitoring the security status of the ship / Port Facility.
 - (3) Conditions for an exchange of DoS.
 - (4) Exchange of DoS.
 - (5) Sharing of security arrangements.
 - (6) Special or additional security measures.
 - (7) Non-compliance issues
- e. When the participants need to have some action carried out by a subordinate unit or individual e.g. security guards stationed at the wharf, 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.



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

14. **Briefings**

a. A briefing to controllers will be conducted by the Chief Controller and should include the following:

- (1) Objectives of the exercise.
- (2) Scenario for the exercise.
- (3) Roles to be played by controllers.
- (4) Exercise injects, anticipated responses by participants, and feedback to be provided by lower controllers to participants for each response.

b. A briefing to participants upon commencement of the exercise will include:

- (1) Organization for the exercise.
- (2) Details of the administrative and logistics arrangements.
- (3) Exercise objectives.
- (4) Issue of narrative no.1.

CONCLUDING THE EXERCISE

15. The exercise is deemed to have been completed when:

- a. The demonstration of the ships security systems has been conducted.
- b. The execution phase has been completed with the planned injects employed.
- c. The Exercise Director so decides.

16. **Debrief**

a. The debrief of the planning and tabletop simulation of the execution phase should be conducted by the Chief Controller as soon as convenient after the exercise is declared at an end.



- 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. A note-taker should be appointed 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.

17. 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. A copy of the report should be extended to the shipping company and the ship, and where appropriate, 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, or the security of ships at the Port Facility, a verbal presentation of the report at a top management meeting should be considered.

18. Records

An ISPS Drills and Exercises Record Book should be maintained by the Port Facility. The following is an example of an entry in the ISPS Drills and Exercises Record Book:

ISPS Port Facility Drills and Exercises Record Book				
DATE	EVENT	TYPE	SUBJECT	REPORT REFERENCE
	<i>Exercise</i>	<i>Port Facility exercise</i>	<i>FE25 – Interfacing with ship security activities</i>	<i>PF/101/08-FE25 dated xx/yy/zzzz</i>

**FE25 TIME-TABLE FOR PLANNING**

DAYS TO EXERCISE	DATE	EVENT	CHECK
D -60		Confirm the exercise date	
D -55		Confirm budget availability for items and/or services to be employed during the exercise	
D -50	(calendar	Seek shipping company and a ship's cooperation and participation in the exercise. Seek Designated Authority's representation and participation in the exercise	
D -45	dates to	Review Volume II Part 1 - Guidelines for the Conduct of Maritime Security Exercises	
D -30	be	Appoint the Exercise Planning and Control Team	
D -27		Convene the initial planning conference	
D -27	inserted)	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 or D -1		Briefing and tour of ship security systems	
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>	<i>X</i>	<i>X</i>	<i>-</i>	<i>-</i>	<i>X</i>	<i>X</i>
<i>Mobile</i>	<i>X</i>	<i>X</i>	<i>X</i>	<i>X</i>	<i>X</i>	<i>X</i>
<i>Marine VHF</i>	<i>X</i>	<i>-</i>	<i>-</i>	<i>X</i>	<i>X</i>	<i>-</i>
<i>Walkie-Talkie Ch 1</i>	<i>X</i>	<i>X</i>	<i>X</i>	<i>-</i>	<i>X</i>	<i>X</i>
<i>Walkie-Talkie Ch 2</i>	<i>-</i>	<i>-</i>	<i>-</i>	<i>-</i>	<i>X</i>	<i>X</i>

Example Code Words

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

CODE WORD	MEANING
Exercise Trojan Horse	Exercise name (example only)
Exercise Start	The exercise is to commence
Exercise Suspend	The exercise is temporarily suspended
Exercise Go	The exercise is to resume from where it was suspended
Exercise Stop	The exercise is to be terminated (prematurely)
Exercise End	The exercise is completed
For Exercise	The message or statement that follows this preamble relates to the exercise only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the exercise e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."



FE 25 SCENARIO SYNOPSIS

NARRATIVE NO. 1

General Security Situation

1. *A worldwide recession as a result of a slump in one of the world's biggest economies has taken its toll on the stability of this poor, largely agrarian country. A nascent industrialization program based on labor-intensive industries has been stilled by the recession, and job losses have resulted in many people out on the streets of the capital, near where the industries have been located. Previously a peaceful, fun-loving people, the harsh living conditions in the city's slums have brought about a sense of despair and despondency.*

2. *The State machinery, while not corruption-free, is slow, but generally fairly well-managed by its public servants in properly structured administrative and judicial systems, which are legacies of the country's former colonial masters. However, there is little the government can do to alleviate the woes of the people in the face of the economic downturn and decreasing revenues.*

3. *The people have therefore become easy targets of a band of rebel militants who are determined to overthrow the government and seize power. Street demonstrations have become progressively more violent, and have been suppressed with increasing use of force by the state security agencies. This in turn has led to escalated tensions and greater restiveness among the young population, and a spiral of violence and lawlessness is beginning to develop.*

Maritime Security

4. *The country has a small Navy comprised mainly of old patrol boats donated by its former colonial masters. The Police are somewhat better equipped to protect the country's coastal resources. They have a Marine division with small but fast and heavily armed attack craft supported by light aircraft for aerial surveillance but while these are an efficient combination, their relatively small numbers in relation to the vast coastline and numerous islands in the archipelagic country forces them to concentrate their efforts on the areas of greatest concern. These include the islands where the militants are known to have their hideouts, and port areas where the militants have joined forces with sea robbers and use small craft to rob passing vessels.*



5. *The Customs and Immigration services maintain their own small craft to service shipping. Owing to limited resources, their activities against smugglers and illegal immigrants are primarily based on intelligence sources, and information leaked by rival gangs.*

6. *Of late, the robbers have become bolder, and extended their forays into ports, boarding ships at anchor. While most have been cases of petty theft, there is an increasing number involving armed robbery and a few cases of kidnapping. There have been no casualties so far, as the robbery victims and hostages have not resisted, and the kidnappers seem to understand that it is their interests to release their hostages unharmed when a ransom has been paid.*

7. *Ports and Ports Facilities and the shipping industry are regulated by the Maritime and Ports Board, which has been declared by the Ministry of Transportation as the country's Designated Authority as required by the ISPS Code.*

Security Incidents at the Port Facility

8. *Thus far, ships at the Port Facility have not been attacked directly. The Port Facility believes this is because of its stringent access controls, and preventive measures such as security lighting and the stationing of a permanent guard at the wharf, located on a watchtower and equipped with binoculars and a searchlight. Guards on duty at the tower have however, complained of the deep shadows on the water near the pier caused by the wharf security lighting.*

9. *Cargo and ship stores, however, have not been so lucky. There has been a constant stream of reports of pilferage since the economy dived, with items stolen ranging from trade goods to food supplies in ship stores.*

10. *The country is maintaining Security Level 1.*

**FE25 MASTER EVENTS LIST**

SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
<i>Date:</i>				
001	0900	Ship	<i>Briefing and tour of ship security systems</i>	<i>Attend</i>
002	1300	High Control	<i>Issue of Narrative</i>	<i>To read</i>
003	1310	Ship/High Control	<i>MV AAA is scheduled to enter port in 3 days</i>	<i>To determine Security Level maintained by MV AAA. To inform MV AAA of Port Facility's Security Level</i>
004	1320	Ship/High Control	<i>MV BBB, entering the Port Facility tonight, reports that she is at Security Level 2</i>	<i>To inform MV BBB that the Port Facility is at Security Level 1. To request Continuous Synopsis Record (CSR) from MV BBB.</i>
005	1330	Ship/High Control	<i>MV BBB requests exchange of DoS</i>	<i>To contact MV BBB to discuss requirements for the exchange of DoS</i>
006	1340	Ship/High Control	<i>MV CCC alongside at the Port Facility reports that a new TV set delivered with her ship stores this morning is missing</i>	<i>To interview wharf security guards. To review surveillance video</i>
007	1350	Ship/High Control	<i>MV DDD contacted main entrance security to verify the identity of a visitor</i>	<i>To check with main entrance security</i>
008	1400	Low Control	<i>The visitor had earlier claimed at the main entrance to be visiting MV CCC to attend to pump repairs</i>	<i>To ask MV DDD or send security staff to verify if the mistaken ship was inadvertent or intentional; contents of the visitor's bag(s), etc.</i>



SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
009	1415	High Control	<i>Designated Authority informs Port Facility that Security Level 2 has been declared for the port in view of the importance of this principal port, and the deteriorating security situation in the area</i>	<i>To implement Security Level 2 measures</i>
010	1425	Low Control	<i>Wharf security reports a local fisherman in a small boat traveling past the Port Facility</i>	<i>To remind wharf security to warn fisherman to keep clear</i>
011	1440	Low Control/Ship	<i>MV DDD ship's horn is sounding repeatedly but the ship is not moving or scheduled to move. Telephone call from MV DDD reports she is under attack by robbers</i>	<i>To send security guards to MV DDD To contact Police and Marine Police for assistance</i>
012	1500	Low Control	<i>MV CCC SSO has brought in a female stowaway to the security control centre. The SSO says that she was found trying to sneak out from among the crates of ship stores embarked this morning.</i>	<i>To report the case in accordance with PFSP procedures</i>
013	1505	High Control	<i>Telephone call from Designated Authority operations centre reports that MV CCC's SSAS has been activated and Police and Marine Police are on the way</i>	<i>To send security guards to MV CCC. To contact MV CCC by telephone, radio</i>
014	1510	High Control	<i>Telephone call from MV CCC's ship agent reports that MV CCC's SSAS has been activated, and requests assistance</i>	<i>To determine if two ships are under attack</i>
015	1515	Ship/High Control	<i>MV CCC SSO contacts Port Facility to report that MV CCC is not under attack, but activated her SSAS to get assistance for MV DDD after noticing boarders from the fishing boat climbing up MV DDD with weapons</i>	<i>To report to Police, Marine Police and Designated Authority accordingly</i>



EXAMPLE REPORT

REPORT ON THE CONDUCT OF SECURITY EXERCISE FE25

INTRODUCTION

1. *Exercise FE25 from the APEC Manual of Maritime Security Drills and Exercises Volume II Part 2 was conducted by this Port Facility on date to familiarize personnel with the maritime security conditions and situations associated with interfacing with ships and to practice the measures to be undertaken in response to these situations.*
2. *The exercise incorporated a ship security exercise conducted by MV GGG in conjunction with this Port Facility's exercise, and included participation from the ship and her company, represented by the Company Security Officer.*

AIM

3. *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

4. *Exercise Direction and Control*
 - a. *Exercise Director - Mr. _____ Deputy Director, Operations*
 - b. *Exercise Chief Controller – Mr. _____ Manager, Port Services*
 - c. *Low Controller - Mr. ____ Chief Security Supervisor*
 - d. *Ship Controller – Mr. _____ First Mate, MV GGG*
5. *Exercise Participants*
 - a. *Mr. _____ Manager, Safety and Security*
 - b. *Mr. _____ PFSO*
 - c. *Mr. _____ Senior Security Supervisor*
 - d. *Mr. _____ Ship Security Officer*



EXERCISE OBJECTIVE

6. *The objective of the exercise was to:*
 - a. *To familiarize Port Facility security personnel with ship security systems.*
 - b. *Validate the Port Facility's responses to events arising out of interfacing with ship security activities.*
 - c. *Practice the command, control, coordination and communications for security activities both within and beyond the Port Facility.*

FORMAT OF THE EXERCISE

7. *The exercise was conducted in two phases as follows:*
 - a. *Phase I – MV GGG kindly agreed to provide a familiarization briefing and tour of the ship's security equipment and arrangements. This was conducted in the morning by the SSO Mr. _____ who showed and explained the security function and application of the Automatic Identification System, Ship Security Alert System, radar, GPS, CCTV system and flare projectors. He also spoke of how the ship's fire-fighting hoses are rigged and primed, and how decklights and searchlights may be employed when the ship transits hazardous waters in order to deter and repel sea robbers, and the potential use of lighting and even the ship's horn in harbor where assistance can be expected.*
 - b. *Phase II – This was the planning phase held on the morning of date. It focused on the Port Facility's recognition of the threat from unauthorized items as well as the responses to those threats, wherein the participants produced a written list of all unauthorized items and the likely techniques for their illegal entry into the Port Facility premises.*
 - c. *Phase II – During this phase, held on the afternoon of date, the controllers issued a narrative followed by injects of incidents where a ship would be required to interact with the Port Facility. This provided an insight into the range of security situations faced by a ship in port, and the opportunity for the security staff to respond in liaison with the ship(s) and State security agencies and Designated Authority. These last two were simulated by the controllers as the actual authorities were unable to be represented in this exercise.*



LESSONS LEARNT FROM THE EXECUTION PHASE

8. *Attack on a Ship in the Port Facility from land and from the sea*

a. The Port Facility is presently very much constrained in the seaward protection it can offer a ship. Should a two-pronged coordinated attack of a ship occur, the ability of a ship to defend itself effectively while in Port is very limited, especially if crew also happen to be on duties ashore or on shore leave. Access control at the Port Facility is therefore a primary preventive measure, and must not be permitted to fail, particularly in relation to access to ships. Such access control should apply to both landward access as well as seaward access. Should this Port Facility be unable to assure shipping companies of the safety of their ships, we may be by-passed for ports/Port Facilities perceived by them to be safer.

b. Consideration should be given to establishing a contingency plan to implement seaward patrols at higher Security Levels. Competencies in patrolling at sea are not easily attained, and the plan must provide for the manning and training lead times, in addition to the acquisition of suitable craft for such patrols. Further legal and regulatory requirements must be met if armed patrols are contemplated. It would be useful to consider the range of options in providing such maritime security measures, including out-sourcing the task, and consultancy for setting up a seaward patrol within the Port Facility security organization.

9. *Activation of SSAS in port*

A ship may activate its SSAS in port if the value of covert notification of an attack is greater than the faster response time possible if other overt alarms are sounded. In port, and especially if alongside at a Port Facility, a ship may reasonably expect to depend on shore-based assistance. The ship may therefore choose to sound a distress alarm if under attack, rather than activate the SSAS.

10. *Verification of threats to ships*

a. Mistaken identity can lead to valuable time lost. If a ship in distress from a maritime security threat cannot be quickly identified, or another ship is incorrectly identified as the ship in distress, security forces may be misdirected and focus their efforts in the wrong place. This not only impacts on the reaction to the threat, but also places the wrong ship at risk. It is therefore imperative that communications channels are familiar, unambiguous and available to all stakeholders.



b. In conditions where language and /or language proficiency may be a cause for concern, internationally recognized operational code words can be useful. These may be formulated with reference to specific scenarios, events and responses, and provide both clarity and brevity in maritime security communications.

FOLLOW-UP ACTION

11. Most of the areas covered in this exercise on interfacing with ships are adequately covered in the PFSP. The PFSO will monitor the recommendations noted in the significant lessons learnt above for implementation, and revisions to the PFSP, where appropriate.

CONCLUSION

12. This exercise has been useful in identifying areas for further development in the maritime security readiness of the Port Facility. Some of the lessons learnt in interfacing with ships extend beyond the scope of this Port facility, such as code words for better communication, and will be forwarded to the Designated Authority for further consideration. The exercise brought together the stakeholders with accountability for the task, both directly and indirectly to work on the issues affecting the associated security measures. The recommendations that may be implemented by this Port Facility should be acted on promptly in order to realize the benefits from enhanced Port Facility security, and reassurance to our primary customers, the ships.



Exercise	FE26
Category	Port Facility Exercises
Type	Security Incidents
Security Level	1 and 2
References	1. Port Facility Security Plan 2. Relevant Port Facility security instructions, regulations and memorandums 3. APEC Manual of Maritime Security Drills and Exercises Vol II Part 1 – Guidelines for the Conduct of Maritime Security Exercises 4. ISPS Code Part A 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, new security incidents identified that had not been provided for in the PFSP should be addressed in procedures, or revisions to procedures in the PFSP.

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 may be limited to 2 or 3 persons. Should it be desired to make it a full scale or live exercise by incorporating one or more drills, then the control team recommended for the drills may be nominated as well. It should not be necessary to duplicate the teams for each drill incorporated.



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

(3) Other controllers required are:

(a) One higher controller (Operations)

(b) Two lower controllers (possibly Senior Security Supervisors)

c. Participants

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

(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 forces, teams, 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:

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

**FE26 TIME-TABLE FOR PLANNING**

DAYS TO EXERCISE	DATE	EVENT	CHECK
D -60	(calendar	Confirm the exercise date Request participation in the exercise	
D -30	dates to be	Confirm budget availability for items and/or services to be employed during the exercise Review Volume II Part 1 - Guidelines for the Conduct of Maritime Security Exercises	
D -27		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.

CODE WORD	MEANING
Exercise Trojan Horse	Exercise name (example only)
Exercise Start	The exercise is to commence
Exercise Suspend	The exercise is temporarily suspended
Exercise Go	The exercise is to resume from where it was suspended
Exercise Stop	The exercise is to be terminated (prematurely)
Exercise End	The exercise is completed
For Exercise	The message or statement that follows this preamble relates to the exercise only, and is not to be confused with real activity. This should be used to prefix all telephone or radio communications relating to simulated events for the exercise e.g. "For exercise, I am from the Black September terrorist group. A bomb has been placed in your lobby."
No Duff	The message or statement that follows this preamble relates to a real event or instruction e.g. "No duff, Mr. KLJ has fallen and cut his hand at the Restricted Area Gate 3. Please send a vehicle to pick him up."



FE 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**

SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
<i>Date:</i>				
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
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



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



SERIAL NO.	TIME	FROM	HIGH CONTROL INJECT / LOW CONTROL RESPONSE	PARTICIPANT'S EXPECTED RESPONSE
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	<i>Stevedores are agitating to strike for more pay</i>	<i>HR to negotiate</i>
039	1520	High Control	<i>Telephone call to PFSO: "We will attack your Port Facility with a bomb if you do not pay us \$xxx."</i>	<i>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</i>
040	1535	High Control	<i>Four container cranes made unserviceable by their power cable being cut with an axe found near one of the cranes</i>	<i>To report sabotage to Police</i>
041	1545	Low Control	<i>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. & 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."</i>	<i>To report to Police and assist in a thorough search of the entire Port Facility. To increase security and vigilance at passenger terminal.</i>
042	1600	High 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 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**

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



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

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