



| | |
|-----------------------|--|
| 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 |
| 15/10/XX | Drill | Ship – shore interface | D501 – Interface with non-ISPS complaint vessel | PF/101/08-D501 dated xx/yy/zzzz |
| | | | | |

**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 | |



Appendix 2

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> |

XYZ Port Facility
Maritime Security Drill

Controller Briefing

date

Ship – Shore Interface

Interface with non-ISPS
Compliant Vessel

Drill D511

Interface with non-ISPS Compliant Vessel

Scope

- Date, time, location
- General objective
- Specific objectives
- Required attainments
- Controllers
- Participants
- Scenario
- Controller Tasks
- Communications
- Safety
- Debrief



Interface with non-ISPS Compliant Vessel

Drill number: 1/08

Date:

Start Time:

Location:

Estimated End Time:

Interface with non-ISPS Compliant Vessel



General Objective

To practice the procedures for interfacing with a non-ISPS compliant vessel

Interface with non-ISPS Compliant Vessel

Specific Objectives

- To practice implementing the measures for accepting a non-ISPS compliant ship alongside
- To validate the ship-shore communications with vessels reporting non-compliance in advance of their arrival

Interface with non-ISPS Compliant Vessel

Specific Objectives

- To raise the awareness of the provisions of the ISPS Code pertaining to ISPS compliance on the part of vessels, and non-compliant vessels
- Meet or better the specified compliance benchmark for this drill.

Interface with non-ISPS Compliant Vessel

Required Attainments

Security staff will be able to:

- Apply the measures for accepting a non-ISPS compliant ship alongside
- Perform the procedures without undue delay to the ship
- Provide feedback to refine, update and improve the procedures

Interface with non-ISPS Compliant Vessel

Control Team

- Chief Controller: Safety Manager, Mr. AAA
- Controllers
 - ✦ Ship Security Officer – Mr. XXX
 - ✦

Interface with non-ISPS Compliant Vessel

Participants

-
-
-

Interface with non-ISPS Compliant Vessel

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. Its Ship Security Alert System is unserviceable, and it has embarked two fishermen rescued at sea



Interface with non-ISPS Compliant Vessel

Controller Tasks

To request the ship to send a notification of non-compliance to the Port Facility



Interface with non-ISPS Compliant Vessel

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 |

Interface with non-ISPS Compliant Vessel

Master Events List

| SERIAL NO. | DATE/ TIME | EVENT/INJECT | EXPECTED RESPONSE | LOCATION |
|------------|------------|--|--|---------------------------|
| 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 |

Interface with non-ISPS Compliant Vessel

Communications

- Telephone
- Walkie-Talkie
 - Participants - Channel number
 - Controllers – Channel number
- Mobile phone – please exchange mobile numbers by xxxx hrs.



Interface with non-ISPS Compliant Vessel

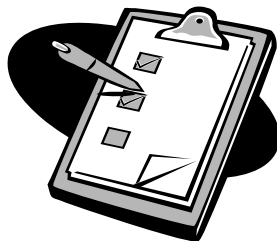
Code words

| | |
|---------------|---|
| 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 |
| No Duff | The message or statement that follows this preamble relates to a real event or instruction |

Interface with non-ISPS Compliant Vessel

Debrief

- Location:
- Secretary:
- Attendance
-
-



Interface with non-ISPS Compliant Vessel



end

XYZ Port Facility
Maritime Security Drill
Participant Briefing

date

Ship – Shore Interface

Interface with non-ISPS
Compliant Vessel

Drill D511

Interface with non-ISPS Compliant Vessel

Scope

- Review of the previous drill
- Date, time, location
- General objective
- Specific objectives
- Required attainments
- Controllers
- Participants
- Scenario
- Port Facility security instructions
- Communications
- Safety
- Debrief
- Update on the ISPS Code/local regulations
- Developments in maritime security



Interface with non-ISPS Compliant Vessel

Review of Previous Port Facility Drill no. 4/07

Date conducted:

Objectives:

Lessons Learnt:

-
-
-

Interface with non-ISPS Compliant Vessel

Drill number: 1/08

Date:

Start Time:

Location:

Estimated End Time:

Interface with non-ISPS Compliant Vessel



General Objective

To practice the procedures for interfacing with a non-ISPS compliant vessel

Interface with non-ISPS Compliant Vessel

Specific Objectives

- To practice implementing the measures for accepting a non-ISPS compliant ship alongside
- To validate the ship-shore communications with vessels reporting non-compliance in advance of their arrival

Interface with non-ISPS Compliant Vessel

Specific Objectives

- To raise the awareness of the provisions of the ISPS Code pertaining to ISPS compliance on the part of vessels, and non-compliant vessels
- Meet or better the specified compliance benchmark for this drill.

Interface with non-ISPS Compliant Vessel

Required Attainments

Security staff will be able to:

- Apply the measures for accepting a non-ISPS compliant ship alongside
- Perform the procedures without undue delay to the ship
- Provide feedback to refine, update and improve the procedures

Interface with non-ISPS Compliant Vessel

Control Team

- Chief Controller: Safety Manager, Mr. AAA



Interface with non-ISPS Compliant Vessel

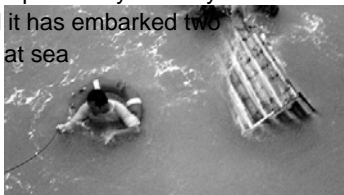
Participants

-
-
-

Interface with non-ISPS Compliant Vessel

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. Its Ship Security Alert System is unserviceable, and it has embarked two fishermen rescued at sea.



Interface with non-ISPS Compliant Vessel

Port Facility Security Instructions

-
-



Interface with non-ISPS Compliant Vessel

Communications

- Telephone
- Walkie-Talkie
- Mobile phone – please exchange mobile numbers by xxxx hrs.



Interface with non-ISPS Compliant Vessel

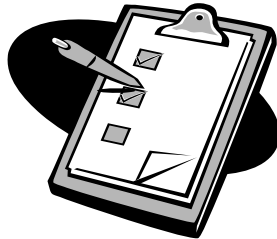
Code words

| | |
|---------------|---|
| 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 |
| No Duff | The message or statement that follows this preamble relates to a real event or instruction |

Interface with non-ISPS Compliant Vessel

Debrief

- Location:
- Secretary:
- Attendance
 -
 -



Interface with non-ISPS Compliant Vessel

Updates on the ISPS Code and local Regulations

-
-
-



Interface with non-ISPS Compliant Vessel

Developments in Maritime Security



Interface with non-ISPS Compliant Vessel



end
