



International Port Security Program



Lesson 1 - ISPS Code Review LT Chris Schleck U.S. Coast Guard



Lesson Topics



- ISPS Code Basics
- Maritime security terms and definitions
- Responsibilities of the Contracting Governments, Designated Authorities, Recognized Security Organizations, and PFSOs
- Maritime security levels
- Drills and exercises
- Security documentation and reporting



ISPS Code Basics



Part A: Mandatory for all ships and port facilities covered by the Code.

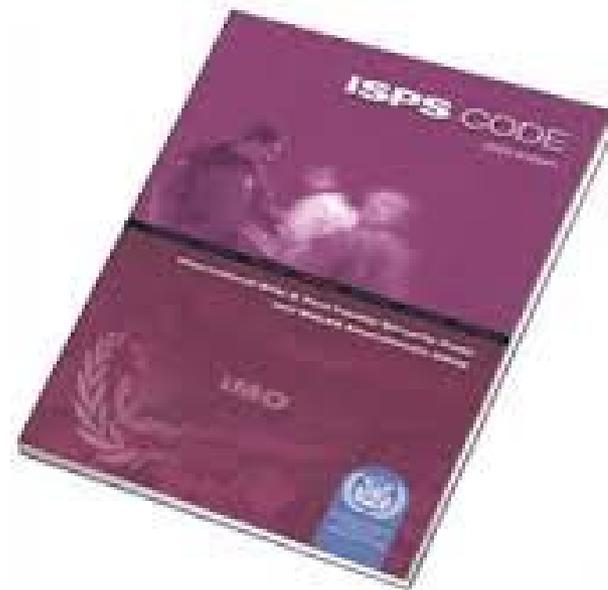




ISPS Code Basics



Part B: Provides guidance for the processes and procedures necessary to implement the requirements and standards in Part A.





ISPS Code Basics



The Objectives of the International Ship and Port Facility Security (ISPS) Code reflect the reasons why the Code was created and are fundamental to international security.



U. S. COAST GUARD



Maritime Security Terms and Definitions



Port Facility Security Plan (PFSP) - developed to ensure the application of measures designed to protect the port facility and ships, persons, cargo, cargo transport units and ship's stores within the port facility from the risks of a security incident.



Maritime Security Terms and Definitions



Port Facility Security Officer (PFSO) - responsible for the development, implementation, revision and maintenance of the port facility security plan and for liaison with the ship security officers and company security officers.



Maritime Security Terms and Definitions



Security level 1 - the level for which minimum appropriate protective security measures shall be maintained at all times.

This Ship or Port Facility is currently operating at

SECURITY LEVEL 1

Normal, the level at which ships and port facilities normally operate in accordance to the Ship or Port Facility Security Plan.

Report transportation security incidents or suspicious people, objects or activities to:

Your Company or Port Facility Security Officer

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Maritime Security Terms and Definitions



Security level 2 - the level for which appropriate additional protective security measures shall be maintained for a period of time as a result of heightened risk of a security incident.

This Ship or Port Facility is currently operating at

SECURITY LEVEL 2

Heightened, the level applying for as long as there is a heightened risk of a security incident.

Refer to the Ship or Port Facility Security Plan for additional required security measures.

Report transportation security incidents or suspicious people, objects or activities to:

Your Company or Port Facility Security Officer

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ISPS Code Review



Responsibilities of the Contracting Governments, Designated Authorities, Recognized Security Organizations and PFSOS





Contracting Government



1. Setting the applicable security level
2. Approving the Ship Security Plan and amendments
3. Verifying the compliance of ships with the provisions of chapter XI-2 and part A of this Code and issuing to ships the International Ship Security Certificate



Contracting Government



4. Determining which of the port facilities are required to designate a Port Facility Security Officer.
5. Ensuring completion and approval of the Port Facility Security Assessment and any amendments.
6. Approve the Port Facility Security Plan and any amendments.



Contracting Government



7. Exercising control and compliance measures
8. Testing approved plans; and
9. Communicating information to the International Maritime Organization and to the shipping and port industries.



Designated Authorities



Contracting Governments can designate or establish Designated Authorities within Government to undertake, with respect to port facilities, their security duties.





Recognized Security Organizations



Contracting Governments may approve of and allow Recognized Security Organizations (RSOs) to carry out certain work.



**BUREAU
VERITAS**



**Lloyd's
Register**



Recognized Security Organizations



The Contracting Government or Designated Authority must give acceptance and approval of work done by Recognized Security Agencies.





Recognized Security Organizations



The following duties may not be delegated to RSOs:

- Setting security levels
- Determining which port facilities are required to designate a PFSO or produce a PFSP
- Approving a Port Facility Security Assessment





Recognized Security Organizations



Continued;

- Approving a Port Facility Security Plan
- Exercising control and compliance measures
- Establishing the requirements for a Declaration of Security



Port Facility Security Officer



Each port facility must have a PFSO;
however, a PFSO may serve in that capacity
at more than one facility.

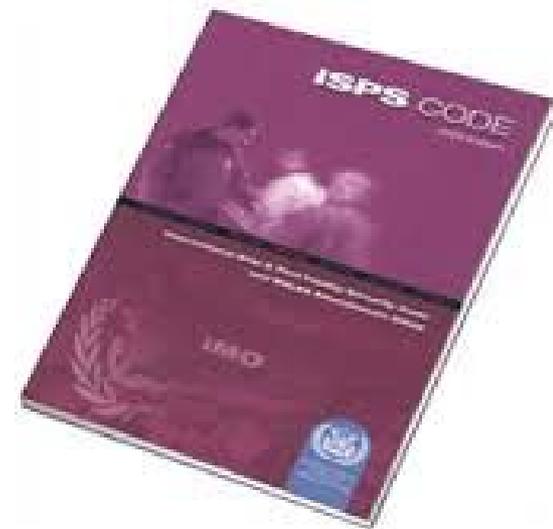




Drills and Exercises



Conducting drills and exercises is not only a way to test preparedness; it is also required for compliance with the ISPS Code.





Drills and Exercises



The objective of drills and exercises is to ensure that port facility personnel are proficient in all assigned security duties, at all security levels, and to identify any security-related deficiencies that need to be addressed.



Reasons for Conducting Drills and Exercises



- Meet an identified need
- Meet the ISPS Code requirement
- Improve readiness
- Test and amend the PFSP
- Assess current capabilities
- Bring stakeholders together to improve coordination and communication
- Drive policy changes





Reasons for Conducting Drills and Exercises



A PFSP that looks good on paper is not effective if security personnel are not able to carry out their duties during a security incident. Drills and exercises help to determine if security personnel know their roles and responsibilities.



Drills and Exercises



Port Security Drills

- Narrow in scope
- Typically focus on at least one part of the PFSP (a procedure or a particular function, like searches)



Port Security Drills



Drills are commonly used to:

- Provide training on new equipment
- Develop or test new policies or procedures
- Practice and maintain current skills





Frequency of Drills



Drills should be conducted at least every three months unless the specific circumstances dictate otherwise. These drills should test individual elements of the Port Facility Security Plan.





Port Security Exercises



Exercises are more far-reaching than drills and usually focus on more than one security procedure.





Port Security Exercises



An exercise is typically an annual activity involving extensive training to practice various aspects of the PFSP. It tests multiple security functions related to a particular event.



Port Security Exercises



Exercises rehearse and test:

- Communication
- Coordination
- Resource Availability
- Response



Frequency of Exercises



- At least once each calendar year with no more than 18 months between exercises.
- Full-scale or live
- Tabletop simulation or seminar
- Combined with other exercises, such as emergency response or other Port State authority exercises



Drills and Exercises



The most important aspect of any drill or exercise is to help security personnel keep skills up-to-date and to improve them.

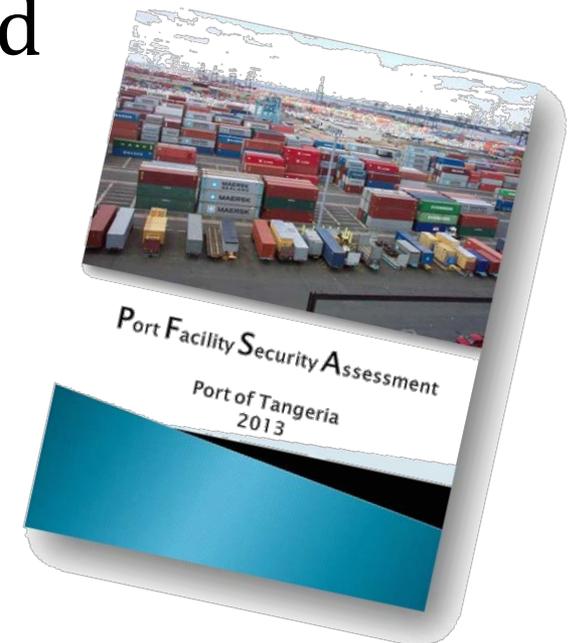




Port Facility Security Assessments



A PFSA is a risk analysis of all aspects of a port facility's operation in order to determine which parts or aspects of the facility are more susceptible and vulnerable.





Port Facility Security Assessments



Governments are responsible for conducting a PFSA. However, conducting a PFSA usually involves port facility operator personnel due to their in-depth knowledge of the port facility's assets, infrastructure, vulnerabilities, and past security incidents.



Port Facility Security Plan



- Describes security measures to be taken at the three Security levels
- Normally prepared by the PFSO, but must be approved by the Contracting Government



Port Facility Security Plan



Familiarity with the PFSP

ALL Port Security Personnel should be familiar with the provisions and requirements of the PFSP. ALL Port Security Personnel **MUST** understand the actions they need to take when security levels are imposed.



Port Facility Security Plan



Training Records

The PFSO should maintain a record of all training received by the PFSO and Security Personnel. This record should include the dates, names of personnel, and topics trained.



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Port Facility Security Plan



Records of Drills and Exercises

The PFSO should maintain a record of all drills and exercises. This record should include the dates and objectives of these exercises.



Port Facility Security Plan



Records of Audits or Self-assessments

The PFSO should record the dates and results of audits and self-assessments.





Port Facility Security Plan



A best practice is to record any deficiencies discovered during the audit or self-assessment so that these deficiencies may be evaluated for potentially revising the PFSP or other security procedures.



Declaration of Security



A Declaration of Security (DoS) is a written agreement between a port facility and a ship visiting that facility on their respective security responsibilities during the visit.



Declaration of Security



The requirement for a port facility to initiate, complete, and retain a DoS is determined by the Contracting Government or Designated Authority.



Declaration of Security



The Contracting Government of Designated Authority will specify the conditions under which a facility or ship may REQUEST a DoS.





Declaration of Security



The PFSO normally prepares the DoS; however, this function may be accomplished by another member of the port facility security department.





Records of Security Incidents



The PFSO and his staff should maintain reports of possible breaches of security or security concerns.





Reporting Security Incidents



Security incidents generally fall within two categories:

1. Those considered to be sufficiently serious that they should be reported to relevant authorities by the PFSO.
2. Those of a less serious nature but which require reporting to, and investigation by, the PFSO.



IMPORTANT!



Always report security incidents!

It is not necessary to determine if a security incident is serious or less serious. **ALL** security incidents or security concerns should be reported to the PFSO, who will make a determination if higher authority should be notified.

