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MSC/Circ.1131
14 December 2004

**INTERIM GUIDANCE ON VOLUNTARY SELF-ASSESSMENT
BY SOLAS CONTRACTING GOVERNMENTS AND BY PORT FACILITIES**

1 The Maritime Safety Committee (the Committee), at its seventy-ninth session (1 to 10 December 2004), developed Interim Guidance on voluntary self-assessment by SOLAS Contracting Governments and by port facilities is set out at annex to assist SOLAS Contracting Governments in the implementation of, and the maintenance of compliance with, the requirements of SOLAS chapter XI-2 and of the ISPS Code.

2 The methodologies set out in the annex are designed solely for use by Contracting Governments and by port facilities in conducting internal voluntary self-assessments.

3 SOLAS Contracting Governments are invited to bring the attached Interim Guidance to the attention of Designated Authorities, of port facility owners and operators and of port facility security officers.

4 SOLAS Contracting Governments, international organizations and non-governmental organizations with consultative status are also invited to bring to the attention of the Committee, at the earliest opportunity, the results of the experience gained from the use of the Interim Guidance so as to assist the Committee in deciding on any action to be taken.

ANNEX**PORT FACILITY SECURITY
INTERIM GUIDANCE ON VOLUNTARY SELF-ASSESSMENT BY SOLAS
CONTRACTING GOVERNMENTS AND BY PORT FACILITIES**

1 SOLAS chapter XI-2 and the ISPS Code have, *inter alia*, placed new responsibilities on SOLAS Contracting Governments (Contracting Governments) and port facilities for port facility security. The provisions entered into force on 1 July 2004 and the appendices to this document provide interim guidance on:

- .1 a method of self-assessing the effectiveness with which a SOLAS Contracting Government fulfilled, and continues to fulfil, its obligations in respect of port facility security, and
- .2 a tool to allow port facilities to self-assess the continuing effectiveness of their port facility security plans and the implementation of the relevant security measures in such plans.

2 Self-assessment by a Contracting Government can be undertaken within Government, who could also appoint experts to assist them in the process. Similarly, port facility personnel can use the self-assessment tool with the support of experts, if appropriate.

3 Anyone undertaking the self-assessment should, at least, have knowledge of:

- .1 the requirements of SOLAS chapter XI-2 and the ISPS Code;
- .2 general security principles; and
- .3 the operation of port facilities.

4 The processes and the completed self-assessments should be protected from unauthorized access or disclosure.

5 The effective implementation of port facility security measures is a continuing responsibility. It is suggested that Contracting Governments self-assess their processes post-implementation and thereafter at least on a five yearly basis and that port facilities self-assess annually.

Appendix 1: Voluntary self-assessment questionnaire for Contracting Governments

Appendix 2: Voluntary self-assessment tool for port facility security

APPENDIX 1

VOLUNTARY SELF-ASSESSMENT QUESTIONNAIRE FOR CONTRACTING GOVERNMENTS

This Questionnaire may be used by SOLAS Contracting Governments in the self-assessment process for port facility security. Those conducting the voluntary self-assessment of compliance with the International Ship and Port Facility Security Code (ISPS Code), on behalf of the SOLAS Contracting Government, should be familiar with the ISPS Code implementation process before conducting the Port Facility Security Self-assessment. This effort can be assisted by documenting the ISPS Code implementation process by collecting the information below before reviewing the implementation process at the port facilities. This Questionnaire will aid those conducting the voluntary self-assessment in documenting the Contracting Government strategy used in the implementation of the ISPS Code.

When using this questionnaire, a Contracting Government should consider SOLAS chapter XI-2, ISPS Code part A, and part B as applicable.

Implementation Process

1. Who is the Designated Authority? (SOLAS regulation XI-2/1.11)
2. What is the national legislative basis for the implementation of the ISPS Code? (SOLAS regulations XI-2/2 and XI-2/10)
3. What guidance to industry was released to implement the ISPS Code? (SOLAS regulations XI-2/2 and XI-2/10)
4. What are the means of communication with port facilities regarding ISPS Code implementation? (SOLAS regulations XI-2/3 and XI-2/10)
5. What processes are in place to document initial and subsequent compliance with the ISPS Code? (SOLAS regulation XI-2/10.2)
6. What is the Contracting Government's definition of a Port Facility? (SOLAS regulation XI-2/1.1)
7. What are the procedures used to determine the extent to which port facilities are required to comply with the ISPS Code, with particular reference to those port facilities that occasionally serve ships on international voyages? (SOLAS regulations XI-2/1, XI-2/2.2)
8. Has the Contracting Government concluded in writing bi-lateral or multi-lateral agreements with other Contracting Governments on alternative security agreements? (SOLAS regulation XI-2/11.1)
9. Has the Contracting Government allowed a port facility or group of port facilities to implement equivalent security arrangements? (SOLAS regulation XI-2/12.1)

10. Who has the responsibility for notifying and updating the IMO with information in accordance with SOLAS regulation XI-2/13? (SOLAS regulation XI-2/13)

Port Facility Security Assessment (PFSA)

1. Who conducts PFSAs? (SOLAS regulation XI-2/10.2.1, ISPS Code sections A/15.2 and 15.2.1)
2. How are PFSAs conducted and approved? (ISPS Code sections A/15.2 and 15.2.1)
3. What minimum skills are required for persons conducting PFSAs? (ISPS Code section A/15.3)
4. Are PFSAs used for each Port Facility Security Plan? (ISPS Code section A/15.1)
5. Do single PFSAs cover more than one port facility? (ISPS Code section A/15.6)
6. Who is responsible for informing the IMO if the single PFSA covers more than one port facility? (ISPS Code section A/15.6)
7. What national guidance has been developed to assist with the completion of PFSAs? (SOLAS regulation XI-2/10.2.1)
8. What procedures are in place for determining when re-assessment takes place? (ISPS Code section A/15.4)
9. What procedures are in place for protecting the PFSAs from unauthorized access or disclosure? (ISPS Code section A/15.7)

Port Facility Security Plans (PFSPs)

1. How are Port Facility Security Officers designated? (ISPS Code section A/17.1)
2. What are the minimum training requirements that have been set by the contracting government for PFSOs? (ISPS Code section A/18.1)
3. Are procedures used to determine the individuals/organizations responsible for the preparation of the PFSP? If yes, please describe.
4. Are procedures in place to protect PFSPs from unauthorized access? (ISPS Code sections A/16.7 and A/16.8)
5. What procedures are in place for approval and subsequent amendments of the PFSPs? (ISPS Code section A/16.6)

Security Levels

1. Who is the authority responsible for setting the security level for port facilities? (SOLAS regulation XI-2/3.2)

2. What are the procedures for communicating security levels to port facilities by the responsible authority? (SOLAS regulation XI-2/3.2)
3. What are the procedures for communicating port facilities' security levels to ships? (SOLAS regulations XI-2/4.3 and XI-2/7.1)
4. What are the contact points and procedures for receiving ships' security level information in the Contracting Government and for notifying ships of contact details? (SOLAS regulation XI-2/7.2)

Declaration of Security

1. What procedures are used to determine when a Declaration of Security is required? (SOLAS regulation XI-2/10.3, ISPS Code section A/5.1)
2. What is the minimum time frame that a Declaration of Security is required to be retained? (ISPS Code section A/5.6)

Delegation of Tasks and Duties

1. What tasks and duties have the contracting government delegated to Recognized Security Organizations (RSOs) or others? (ISPS Code section A/4.3)
2. To whom have these tasks and duties been delegated? What oversight procedures are in place? (SOLAS regulation XI-2/13.2)

APPENDIX 2

VOLUNTARY SELF-ASSESSMENT TOOL FOR PORT FACILITY SECURITY

The following tool *can* be used to examine the status of ISPS Code implementation. This tool will help to identify any aspects of the ISPS Code that the port facility / port facility security officer (PFSO) or SOLAS Contracting Government can address to enhance the ISPS Code implementation process. SOLAS regulation XI-2/10 and ISPS Code section A/14.2 establish mandatory requirements for the ISPS Code implementation at a port facility. Therefore, the heading of each subsection is taken directly from ISPS Code section A/14.2.

When using this tool, the person conducting the voluntary self-assessment should consider SOLAS chapter XI-2, ISPS Code part A, and part B as applicable in accordance with national legislation and as guidance.

The following section should be completed prior to completing the tool. It can be used by the PFSO, RSO or others and will help to establish an overview of the port facility's operations.

(i) Port Facility Overview:

| | |
|---|--|
| Name of port facility | |
| Name of operator / authority | |
| Name of Port, if applicable | |
| Name of PFSO | |
| Average number of SOLAS vessels handled per annum | |

(ii) Particular characteristics of the port facility, if any, including the vessel traffic, which may increase the likelihood of being the target of a security incident.

| | | | |
|-------------------------------|--------------------------|--|--------------------------|
| Passenger ships | <input type="checkbox"/> | Other dangerous goods | <input type="checkbox"/> |
| Ro-ro / container terminal | <input type="checkbox"/> | Near military installation | <input type="checkbox"/> |
| Explosives | <input type="checkbox"/> | Military vessels | <input type="checkbox"/> |
| Oil / gas refinery / terminal | <input type="checkbox"/> | Embarkation of military personnel or cargo | <input type="checkbox"/> |
| LPG, LNG or petrol storage | <input type="checkbox"/> | Other (describe) | <input type="checkbox"/> |

Guidance for using the voluntary self-assessment tool for port facility security:

- Ensure that one of the boxes is ticked for each question.
- If you ticked 'yes', but the measures/procedures are not documented in the PFSP, please enter a short description of them in the comments box.
- If you tick the 'no' response against Part A questions, please describe the reason in the comments box.

- If you ticked ‘other’ against Part B questions, please enter a short description in the comment box. ‘Other’ could include instances where alternative agreements or equivalent arrangements have been implemented.
- Please tick ‘other’ if the question is not applicable and add n/a in the comment box.
- If alternative measures/procedures from those listed in the ISPS Code are used, please enter a short description in the comments box.
- If work to implement the measures outlined in Part B or any alternative solutions is still in progress, a work schedule should be entered into the comment box.
- If there is not enough space in the comment box, assessors should continue the answer on a separate page. The relevant question number should be added in these circumstances as a reference aid.
- ‘Recommendation’ boxes should be used to record any identified deficiencies and how these could be mitigated.
- The ‘Outcome of Voluntary Self-Assessment’ box should be used to provide a brief record of the assessment process, and along with the comments in the ‘Recommendation’ boxes, form the basis for future security planning. A schedule for the implementation of recommendations should be included.

1. Ensuring the performance of port facility security duties (ISPS Code sections A/14.2.1 and A/14.3)

Part A

Yes No Other

| | |
|--|--|
| .1 Does the port facility’s means of ensuring the performance of all security duties meet the requirements set out in the PFSP for security level 1 and 2? (ISPS Code section A/14.2.1) ¹ | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

| | |
|---|--|
| .2 Has the port facility established measures to prevent weapons or any other dangerous substances and devices intended for use against persons, ships, or the port, from entering the facility? (ISPS Code section A/16.3.1) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

¹ Indicates a reference to a section (of part A) or a paragraph (of part B) of the ISPS Code.

Yes No Other

| | |
|--|--|
| .3 Has the port facility established evacuation procedures in case of security threats or breaches of security? (ISPS Code section A/16.3.5) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

| | |
|--|--|
| .4 Has the port facility established procedures for response to an activation of a ship security alert system? (ISPS Code section A/16.3.14) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

Part B - Organization of Port Facility Security Duties (ISPS Code paragraph B/16.8)

| | |
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| .5 Has the port facility established the role and structure of the security organization? (ISPS Code paragraph B/16.8.1) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

| | |
|--|--|
| .6 Has the port facility established the duties and responsibilities for personnel with security roles? (ISPS Code paragraph B/16.8.2) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

| | |
|--|--|
| .7 Has the port facility established the training requirements for personnel with security roles? (ISPS Code sections A/18.1, A/18.2, A/18.3 and paragraph B/16.8.2) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

| | |
|--|--|
| .8 Has the port facility established the performance measures needed to assess the individual effectiveness of personnel with security roles? (ISPS Code paragraph B/16.8.2) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

Yes No Other

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|---|--|
| .9 Has the port facility established their security organization's link with other national or local authorities with security responsibilities? (ISPS Code paragraph B/16.8.3) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |
| .10 Has the port facility established procedures and practices to protect security-sensitive information held in paper or electronic format? (ISPS Code paragraph B/16.8.6) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |
| .11 Has the port facility established procedures to assess the continuing effectiveness of security measures and procedures? (ISPS Code paragraph B/16.8.7) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |
| .12 Has the port facility established procedures to assess security equipment, to include identification of, and response to, equipment failure or malfunction? (ISPS Code paragraph B/16.8.7) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |
| .13 Has the port facility established procedures governing submission and assessment of reports relating to possible breaches of security or security concerns? (ISPS Code paragraph B/16.8.8) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |
| .14 Has the port facility established procedures to maintain and update records of dangerous goods and hazardous substances, including their location within the port facility? (ISPS Code paragraph B/16.8.11) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

Yes No Other

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|---|--|
| .15 Has the port facility established a means of alerting and obtaining the services of waterside patrols and search teams, to include bomb and underwater specialists? (ISPS Code paragraph B/16.8.12) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

| | |
|---|--|
| .16 Has the port facility established procedures for assisting, when requested, Ship Security Officers in confirming the identity of those seeking to board the ship? (ISPS Code paragraph B/16.8.13) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

| | |
|---|--|
| .17 Has the port facility established the procedures for facilitating shore leave for ship's crew members or personnel changes? (ISPS Code paragraph B/16.8.14) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

| | |
|--|--|
| .18 Has the port facility established the procedures for facilitating visitor access to the ship, to include representatives of seafarers' welfare and labour organizations? (ISPS Code paragraph B/16.8.14) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

2. Controlling access to the port facility (ISPS Code sections A/14.2.2, A/14.2.1 and A/14.3)

Part A

Yes No Other

| | |
|--|--|
| .1 Does the port facility's means of controlling access to the port facility meet the requirements set out in the PFSP for security level 1 and 2? | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

Part B - Establish Facility Security Measures (ISPS Code paragraphs B/16.10 and B/16.19.1)

| | Yes | No | Other |
|---|--------------------------|--------------------------|--------------------------|
| .2 Has the port facility identified the appropriate location(s) where security measures can be applied to restrict or prohibit access. These should include all access points identified in the PFSP at security level 1 and 2? (ISPS Code paragraphs B/16.11, B/16.19.1) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Comments: | | | |
| .3 Does the port facility specify the type of restrictions or prohibitions, and the means of enforcement to be applied at all access points identified in the PFSP at security level 1 and 2? (ISPS Code paragraphs B/16.11 B/16.19.2, B/16.19.3) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Comments: | | | |
| .4 Has the port facility established measures to increase the frequency of searches of people, personal effects, and vehicles at security level 2? (ISPS Code paragraph B/16.19.4) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Comments: | | | |
| .5 Has the port facility established measures to deny access to visitors who are unable to provide verifiable justification for seeking access to the port facility at security level 2 (ISPS Code paragraph B/16.19.5) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Comments: | | | |

Part B - Establish Security Measures for Individuals (ISPS Code paragraph B/16.12)

| | | | |
|---|--------------------------|--------------------------|--------------------------|
| .6 Has the port facility established the means of identification required to access and remain unchallenged within the port facility? (ISPS Code paragraph B/16.12) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Comments: | | | |

Yes No Other

| | |
|---|--|
| .7 Does the port facility have the means to differentiate the identification of permanent, temporary, and visiting individuals? (ISPS Code paragraph B/16.12) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |
| .8 Does the port facility have the means to verify the identity and legitimacy of passenger boarding passes, tickets, etc? (ISPS Code paragraph B/16.12) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |
| .9 Has the port facility established provisions to ensure that the identification systems are regularly updated? (ISPS Code paragraph B/16.12) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |
| .10 Has the port facility established provisions to facilitate disciplinary action against those whom abuse the identification system procedures? (ISPS Code paragraph B/16.12) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |
| .11 Has the port facility created procedures to deny access and report all individuals who are unwilling or unable to establish their identity or purpose for visit to the PFSO and to the national or local authorities? (ISPS Code paragraph B/16.13) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

Yes No Other

Part B - Search Locations (ISPS Code paragraph B/16.14)

| | |
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| .12 Has the port facility identified a location(s) for searches of persons, personal effects, and vehicles that facilitates continuous operation, regardless of prevailing weather conditions? (ISPS Code paragraph B/16.14) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

| | |
|---|--|
| .13 Does the port facility have procedures established to directly transfer persons, personal effects, or vehicles subjected to search to the restricted holding, embarkation, or vehicle loading area? (ISPS Code paragraph B/16.14) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

| | |
|---|--|
| .14 Has the port facility established separate locations for embarking and disembarking passengers, ship's personnel, and their effects to ensure that unchecked persons do not come in contact with checked persons? (ISPS Code paragraph B/16.15) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

| | |
|--|--|
| .15 Does the PFSP establish the frequency of application of all access controls? (ISPS Code paragraph B/16.16) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

Part B – Establish Control Points (ISPS Code paragraph B/16.17)

| | |
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| .16 Does the PFSP establish control points for restricted areas bounded by fencing or other barriers to a standard which is approved by the national government? (ISPS Code paragraph B/16.17.1) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

Yes No Other

| | |
|---|--|
| .17 Does the PFSP establish the identification of and procedures to control access points not in regular use which should be permanently closed and locked? (ISPS Code paragraph B/16.17.7) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

3. Monitoring of the port facility, including anchoring and berthing area(s) (ISPS Code sections A/14.2.3 and A/14.3)

Part A

| | |
|--|--|
| .1 Does the facility's means of monitoring the port facility, including berthing and anchorage area(s) meet the requirements set out in the PFSP for security level 1 and 2? | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

Part B - Scope of Security Monitoring (ISPS Code paragraph B/16.49)

| | |
|--|--|
| .2 Does the port facility have the capability to continuously monitor on land and water the port facility and its nearby approaches? (ISPS Code paragraph B/16.49) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

| | |
|--|--|
| <p>.3 Which of the following means are employed to monitor the port facility and nearby approaches? (ISPS Code paragraph B/16.49)</p> <p>A. Patrols by security guards</p> <p>B. Patrols by security vehicles</p> <p>C. Patrols by watercraft</p> <p>D. Automatic intrusion-detection devices</p> <p>E. Surveillance equipment</p> | <p>A <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p>B <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p>C <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p>D <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p>E <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> |
| Comments: | |

Yes No Other

| | |
|---|--|
| .4 If automatic intrusion-detection devices are employed, do they activate an audible and/or visual alarm(s) at a location(s) that is continuously monitored? (ISPS Code paragraph B/16.50) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

| | |
|--|--|
| .5 Does the PFSP establish procedures and equipment needed at each security level? (ISPS Code paragraph B/16.51) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

| | | | | | | | | | | | | | | | | | |
|---|--|--------------------------|--------------------------|--------------------------|--------------------------|----------|--------------------------|--------------------------|--------------------------|----------|--------------------------|--------------------------|--------------------------|----------|--------------------------|--------------------------|--------------------------|
| .6 Has the port facility established measures to increase the security measures at security level 1 and 2 (ISPS Code paragraphs B/16.51, B/16.53.1, B/16.53.2 and B/16.53.3) A. Increase intensity and coverage of lighting and surveillance equipment B. Increase frequency of foot, vehicle & waterborne patrols C. Assign additional personnel D. Surveillance | <table style="border: none;"> <tr><td style="padding-right: 10px;">A</td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td></tr> <tr><td style="padding-right: 10px;">B</td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td></tr> <tr><td style="padding-right: 10px;">C</td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td></tr> <tr><td style="padding-right: 10px;">D</td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td></tr> </table> | A | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | B | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | C | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | D | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| A | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | | | | | | | | | |
| B | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | | | | | | | | | |
| C | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | | | | | | | | | |
| D | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | | | | | | | | | | | | | |
| Comments: | | | | | | | | | | | | | | | | | |

| | |
|---|--|
| .7 Does the PFSP establish procedures and equipment necessary to ensure that monitoring equipment will be able to perform continually, including consideration of the possible effects of weather or power disruptions? (ISPS Code paragraph B/16.51) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

Part B - Illumination at Port Facility (ISPS Code section A/14.3 and paragraph B/16.49.1)

| | |
|--|--|
| .8 Does the port facility have adequate illumination, to allow for detection of unauthorized persons at or approaching access points, the perimeter, restricted areas and ships, at all times including the night hours and periods of limited visibility? (ISPS Code paragraph B/16.49.1) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

4. Monitoring of restricted areas (ISPS Code sections A/14.2.4 and A/14.3)

Part A

Yes No Other

| | |
|--|--|
| .1 Does the port facility's means of limiting and monitoring access to restricted areas meet the requirements of the PFSP for security level 1 and 2? (ISPS Code sections A/14.2.4 and A/14.3) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

Part B - Establishment of Restricted Areas (ISPS Code paragraph B/16.21)

| | |
|--|--|
| .2 Are restricted areas identified within the port facility? (ISPS Code paragraph B/16.21) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

| | |
|---|--|
| <p>.3 Which of the following elements are identified for restricted areas in the PFSP? (ISPS Code paragraph B/16.21)</p> <p>A. Extent of area</p> <p>B. Times of application</p> <p>C. Security measures to control access to areas</p> <p>D. Security measures to control activities within areas</p> <p>E. Measures to ensure restricted areas are swept before and after establishment</p> | <p>A <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p>B <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p>C <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p>D <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p>E <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> |
| Comments: | |

Part B - Security Measures (ISPS Code paragraph B/16.22)

| | |
|---|--|
| .4 Are restricted areas clearly marked, indicating that access to the area is restricted and that unauthorized presence constitutes a breach of security? (ISPS Code paragraph B/16.23) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

Yes No Other

| | |
|---|--|
| .5 Are measures established to control access by individuals to restricted areas? (ISPS Code paragraph B/16.22.1) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

| | |
|---|--|
| .6 Does the port facility have the means to ensure that passengers do not have unsupervised access to restricted areas? (ISPS Code paragraph B/16.12) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

| | |
|--|--|
| .7 Are measures established to control the entry, parking, loading, and unloading of vehicles? (ISPS Code paragraph B/16.22.2) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

| | |
|---|--|
| .8 Are measures established to control movement and storage of cargo and ship's stores? (ISPS Code paragraph B/16.22.3) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

| | |
|---|--|
| .9 Are measures established to control unaccompanied baggage or personal effects? (ISPS Code paragraph B/16.22.4) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

| | |
|--|--|
| .10 If automatic intrusion-detection devices are installed, do they alert a control centre capable of responding to the alarm? (ISPS Code paragraph B/16.24) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

Yes No Other

| | |
|---|---|
| <p>.11 Which of the following security measures are utilized to control access to restricted areas? (ISPS Code paragraph B/16.27)</p> <p>A. Permanent or temporary barriers to surround restricted area</p> <p>B. Access points controlled by security guards when in use</p> <p>C. Access points that can be locked or barred when not in use</p> <p>D. Use of passes to indicate a person's authorization for access</p> <p>E. Marking of vehicles that are allowed access</p> <p>F. Use of guards and patrols</p> <p>G. Use of automatic intrusion-detection devices or surveillance equipment and systems</p> <p>H. Control of vessel movement in vicinity of ships using port facility</p> | <p>A <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p>B <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p>C <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p>D <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p>E <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p>F <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> |
| <p>Comments:</p> | <p>G <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p>H <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> |

| | |
|--|---|
| <p>.12 Has the port facility established measures to enhance the security of restricted areas for security level 2? (ISPS Code paragraph B/16.28)</p> <p>A. Enhance barriers</p> <p>B. Reduce access points</p> <p>C. Enhance control of access points</p> <p>D. Restrict parking</p> <p>E. Control movement within</p> <p>F. Continuously monitor</p> <p>G. Enhance frequency of patrols</p> <p>H. Limiting access to spaces adjacent to ship</p> | <p>A <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p>B <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p>C <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p>D <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p>E <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p>F <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p>G <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> |
| <p>Comments:</p> | <p>H <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> |

| | |
|---|---|
| <p>.13 Has the port facility established measures to enhance the effectiveness of barriers, reduce access points, and enhance access control for restricted areas at security level 2 (ISPS Code paragraph B/16.28)</p> | <p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> |
| <p>Comments:</p> | |

5. Supervising the Handling of Cargo (ISPS Code sections A/14.2.5 and A/14.3)

Part A

Yes No Other

| | |
|---|--|
| .1 Does the port facility's means of supervising the handling of cargo meet the requirements identified in the PFSP for security level 1 and 2? | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

Part B - Prevent Tampering (ISPS Code paragraph B/16.30.1)

| | |
|--|--|
| .2 Are measures employed to routinely monitor the integrity of cargo, including the checking of seals, upon entry to the port facility and whilst stored in the port facility at security level 1 and 2? (ISPS Code paragraph B/16.32.1) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

| | |
|--|--|
| .3 Are measures employed to routinely monitor cargo transport units prior to and during cargo handling operations? (ISPS Code paragraph B/16.32.1) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

| | |
|---|--|
| .4 Which of the following means are employed to conduct cargo checking? (ISPS Code paragraph B/16.33) | |
| A. Visual exam | A <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| B. Physical exam | B <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| C. Scanning or detection equipment | C <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| D. Other mechanical means | D <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| E. Dogs | E <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

| | |
|--|--|
| .5 Are restricted areas designated to perform inspections of cargo transport units if a container seal appears to have been compromised? (ISPS Code paragraph B/16.32.4) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

Yes No Other

| | |
|--|--|
| .6 Has the port facility established measures to intensify checks to ensure that only documented cargo enters the facility, and if necessary, is only stored on a temporary basis at security level 2? (ISPS Code paragraph B/16.35.2) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

| | |
|---|--|
| .7 Has the port facility established measures to intensify vehicle searches, the frequency and detail of examining cargo seals, and other tampering prevention methods at security level 2? (ISPS Code paragraph B/16.35.3) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

Part B - Preventing the Acceptance of Unauthorized Cargo (ISPS Code paragraph B/16.30.2)

| | |
|--|--|
| .8 Are cargo delivery orders or equivalent cargo documentation verified before acceptance? (ISPS Code paragraph B/16.32.2) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

| | |
|--|--|
| .9 Are procedures utilized to randomly or selectively search vehicles at facility access points? (ISPS Code paragraph B/16.32.3) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

Part B - Inventory Control (ISPS Code paragraph B/16.31)

| | |
|--|--|
| .10 Are inventory control procedures employed at facility access points? (ISPS Code paragraph B/16.31) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

Yes No Other

| | | | |
|--|--------------------------|--------------------------|--------------------------|
| .11 Are means of identification used to determine whether cargo inside the port facility awaiting loading has been either checked and accepted or temporarily stored in a restricted area? (ISPS Code paragraph B/16.31) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Comments: | | | |

6. Supervising the handling of ship's stores (ISPS Code sections A/14.2.6 and A/14.3)

Part A

| | | | |
|---|--------------------------|--------------------------|--------------------------|
| .1 Does the port facility's means of supervising the handling of ship's stores meet the requirements identified in the PFSP at security level 1 and 2? (ISPS Code section A/14.2.6) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Comments: | | | |

Part B - Ship's Stores Security Measures (ISPS Code paragraph B/16.38)

| | | | |
|---|--------------------------|--------------------------|--------------------------|
| .2 Are ship's stores examined to ensure package integrity at security level 1 and 2? (ISPS Code paragraphs B/16.38.1 and B/16.42.1) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Comments: | | | |

| | | | |
|--|--------------------------|--------------------------|--------------------------|
| .3 Are procedures established to ensure that no ship's stores are accepted into the port facility without checking at security level 1 and 2? (ISPS Code paragraphs B/16.38.2 and B/16.42.2) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Comments: | | | |

| | Yes | No | Other |
|--|---|---|---|
| <p>.4 Which of the following means are employed to inspect ship's stores? (ISPS Code paragraph B/16.41)</p> <p>A. Visual exam B. Physical exam C. Scanning or detection equipment D. Other mechanical means E. Dogs</p> | <p>A <input type="checkbox"/></p> <p>B <input type="checkbox"/></p> <p>C <input type="checkbox"/></p> <p>D <input type="checkbox"/></p> <p>E <input type="checkbox"/></p> | <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> | <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> |
| Comments: | | | |
| <p>.5 Are procedures established to prevent the tampering of ship's stores? (ISPS Code paragraph B/16.38.3)</p> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Comments: | | | |
| <p>.6 Are ship's stores deliveries preceded with an advanced notification of load composition, driver information, and vehicle registration? (ISPS Code paragraph B/16.40.2)</p> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Comments: | | | |
| <p>.7 Are unscheduled deliveries of ship's stores declined access to the port facility? (ISPS Code paragraph B/16.38.4)</p> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Comments: | | | |
| <p>.8 Are there procedures in place to prevent ships' stores being accepted unless ordered? Are manifests and order documentation validated prior to allowing them into the port facility at security level 1 and 2? (ISPS Code paragraph B/16.38.4)</p> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Comments: | | | |

Yes No Other

| | |
|---|--|
| .9 Are searches of vehicles delivering ship's stores performed prior to entry into the port facility? (ISPS Code paragraph B/16.38.5) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

| | |
|---|--|
| .10 Are escorts provided for ship's stores delivery vehicles within the port facility at security level 1 and 2? (ISPS Code paragraphs B/16.38.6 and B/16.42.4) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

| | |
|--|--|
| .11 Does the port facility increase the use of scanning/detection equipment mechanical devices, or dogs at security level 2? (ISPS Code paragraph B/16.14.2) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

7. Ensuring security communication is readily available (ISPS Code sections A/14.2.7 and A/14.3)

Part A

| | |
|---|--|
| .1 Do the port facility's communication equipment and procedures meet the requirements identified in the PFSP at security level 1 and 2? (ISPS Code section A/14.2.7) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

Part B - Effectiveness of Communication Equipment and Procedures (ISPS Code paragraph B/16.8.4)

| | |
|--|--|
| .2 Is the port facility equipped with auxiliary communication systems for both internal and external communications that are readily available regardless of security level, weather conditions or power disruptions at security level 1 and 2? (ISPS Code paragraph B/16.8.4) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

Yes No Other

| | |
|---|--|
| .3 Are security personnel trained on communication equipment to ensure efficiency? (ISPS Code paragraph B/16.8.4) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

| | |
|---|--|
| .4 Are telephone numbers for key personnel accurate and routinely validated? (ISPS Code paragraph B/16.8.4) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

| | |
|---|--|
| .5 Are procedures in place to ensure that port facility communication systems and equipment are serviced and maintained? (ISPS Code paragraph B/16.8.4) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

| | |
|---|--|
| .6 Has the port facility established procedures and means for the PFSO to effectively disseminate changes in the security level at the port facility or with a vessel interfacing with the port? (ISPS Code paragraph B/16.8.4) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

Part B - Protection of Communication Equipment and Facilities (ISPS Code paragraph B/16.8.5)

| | |
|---|--|
| .7 Are security procedures established to protect radio, telecommunication equipment and infrastructure, and computer systems? (ISPS Code paragraph B/16.8.5) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

| | |
|---|--|
| .8 Are entry control procedures established to restrict access of communication facilities and infrastructure? (ISPS Code paragraph B/16.8.5) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

8. Training, Drills and Exercises (ISPS Code section A/18)

Part A

Yes No Other

| | |
|--|--|
| .1 Has the PFSO and appropriate port facility security personnel received sufficient training to perform their assigned duties as identified in the PFSP? (ISPS Code sections A/18.1 and A/18.2) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

| | |
|---|--|
| .2 Has the port facility implemented drills and exercises? (ISPS Code sections A/18.3 and A/18.4) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

Part B – Training, drills, and exercises on port facility security (paragraphs B/18.1, B/18.2, B/18.3, and B/18.6)

| | |
|---|--|
| .3 Are the PFSO, personnel with security duties and all other port facility personnel familiar with the relevant provisions of the PFSP and have they received the appropriate levels of training? (paragraphs B/18.1, B/18.2 and B/18.3) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

| | |
|--|--|
| .4 Are security drills conducted at least every three months and security exercises conducted at least once each calendar year with no more than 18 months between the exercises? (ISPS Code paragraphs B/18.5 and B/18.6) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

9. Miscellaneous

| | |
|--|--|
| .1 Has the port facility established procedures and adopted measures with respect to ships operating at a higher security level than the port facility? (ISPS Code paragraphs B/18.5 and B/18.6) | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |
| Comments: | |

Yes No Other

| | |
|---|---|
| <p>.2 Has the port facility established procedures and adopted measures which can be applied when:</p> <p>A. it is interfacing with a ship which has been at a port of a State which is not a Contracting Government</p> <p>B. it is interfacing with a ship to which the ISPS Code does not apply</p> <p>C. service vessels covered by the PFSP are interfacing with fixed or floating platforms or mobile offshore drilling units on location</p> | <p>A <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p>B <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p>C <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> |
| <p>Comments:</p> | |

Recommendations

This section should be used to record any deficiencies identified by the voluntary self-assessment and how these could be mitigated. In essence this will provide an action plan for the PFSO.

Recommendations/For Action: Section 1: Ensuring the performance of port security duties.

Recommendations/For Action: Section 2: Controlling access to the port facility.

Recommendations/For Action: Section 3: Monitoring of the port facility, including anchoring and berthing areas.

Recommendations/For Action: Section 4: Monitoring of restricted areas.

Recommendations/For Action: Section 5: Supervising the handling of cargo.

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Recommendations/For Action: Section 6: Supervising the handling of ships' stores.

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Recommendations/For Action: Section 7: Ensuring security communication is readily available.

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Recommendations/For Action: Section 8: Training, drills and exercises.

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