

**COASTAL AREAS & MARITIME APPROACHES:
DRUG THREAT/ VULNERABILITY RISK SELF-ASSESSMENT
CHECKLIST**



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A. Measures to Counter Maritime Narcotrafficking

- 1) Does the national authority or its designate have an existing plan of action for drug enforcement within the coastal areas and maritime approaches?
 - a) Yes
 - b) No

- 2) Has the national authority or its designate established measures to prevent any drugs, chemical precursors and other illegal substances and devices from entering the coastal areas and maritime approaches?
 - a) Yes
 - b) No

- 3) Has the national authority or its designate established procedures for response to an activation of a maritime drug smuggling alert system?
 - a) Yes
 - b) No

- 4) Has the national authority or its designate established the roles and procedures of the drug enforcement coordinating bodies?
 - a) Yes
 - b) No

- 6) Has the national authority or its designate drug enforcement coordinating bodies established their maritime security organization's link with other international, national or local authorities?
 - a) Yes

 - b) No

- 7) Has the national authority or its designate drug enforcement coordinating bodies established communication systems that allow for effective, secure and continuous communication between national or local authorities?
 - a) Yes
 - b) No

- 8) Have the coordinating bodies responsible for drug detection, enforcement and interdiction established the training requirements for personnel with coastal and maritime security responsibility?
 - a) Yes



b) No

9)

Which of the following agencies participate in counter drug monitoring and interdiction activities in your coastal areas and maritime approaches?									
	Yes	No		Responsibilities					
				Coordination	Control of cargos	Control of persons	Information gathering	Interdiction	Monitoring
Attorney General's office									
Customs									
National Police									
National Guard									
Coast Guard									
Navy									
Others (please specify)									

10) Has the national authority or its designate drug enforcement coordinating bodies established procedures governing submission and assessment of security reports to the appropriate authorities including international partners within an appropriate period of time, relating to security issues surrounding coastal areas and maritime approaches?

- a) Yes
- b) No

11) Does the national authority or its designate conduct a debriefing of all drug incidents and security reports and bring the findings to the attention of drug enforcement coordinating bodies in order to prevent against reoccurrence of similar incidents or the possibility of similar incidents in the future?

- a) Yes
- b) No

12) Do the drug enforcement coordinating bodies responsible for coastal areas and maritime approaches have approved equipment (e.g. screening machines, interdiction operation recording systems, etc) and procedures (e.g. risk profiling) to detect, prevent and record the introduction and seizure of illicit drugs and other contraband by vessels, crew, and passengers?

- a) Yes
- b) No



- 13) Do the drug enforcement coordinating bodies have the appropriate capacities to interdict suspected vessels in the high-risk coastal areas and maritime approaches?
- a) Yes
 - b) No
- 14) Is there a comprehensive and effective coordination between relevant drug enforcement coordinating bodies (e.g. Customs, Police, etc)?
- c) Yes
 - d) No
- 15) Is there a broad and effective coordination at all administrative level (e.g. local, regional, federal) in all maritime narcotrafficking efforts?
- a) Yes
 - b) No
- 16) Are there adequate legal authorities to support effective interdiction efforts of suspected vessels in the coastal areas and maritime approaches?
- a) Yes
 - b) No
- 17) Are National Authorities parties to international agreements addressing the issue of maritime narcotrafficking?
- a) Yes
 - b) No
- 18) If the response to #17 was "Yes" - are the National Authorities sufficiently empowered to delegate to the drug enforcement coordinating bodies to required powers to conduct effective interdiction actions?
- a) Yes
 - b) No
- 19) Are the national laws effective in addressing the issue of maritime narcotrafficking?
- a) Yes
 - b) No
- 20) Are the national laws effective in the prosecution of individual(s) accused of being involved in maritime narcotrafficking?
- a) Yes
 - b) No



B. Monitoring and Controlling Access to the Maritime Approaches & Coastal Areas

- 1) Does the national authority or its designate communicate the requirements of identification required to access the coastal areas and maritime approaches?
 - a) Yes
 - b) No

- 2) Does the national authority or its designate have the means to differentiate the identification (e.g. through the use of AIS, VTS, GPS, etc) of permanent, temporary, and transiting vessels?
 - a) Yes
 - b) No

- 3) Has the national authority or its designate created procedures to deny access and reports all vessels that are unwilling or unable to establish their identity?
 - a) Yes
 - b) No

- 4) Does the national authority or its designate control access to and from the vessels at anchorage?
 - a) Yes
 - b) No

- 5) Have security measures been established for all means of access (including land, air and sea) to the coastal areas and maritime approaches?
 - a) Yes
 - b) No

- 6) Which of the following resources are employed to monitor the access to coastal areas and maritime approaches?
 - a) Sea
 - i) Patrol boats
 - ii) Detection buoys
 - iii) Volunteer surveillance (e.g. fishing vessels, vessel owners)
 - iv) Underwater detection systems
 - b) Land
 - i) Land based radar (e.g. VTS, AIS, GPS)
 - c) Air
 - i) Airborne maritime patrol
 - ii) Satellite



- 7) Do the drug enforcement coordinating bodies responsible for high-risk coastal areas and maritime approaches have access to and the capability to monitor on water and also land?
 - a) Yes
 - b) No

- 8) Do the drug enforcement coordinating bodies have the appropriate capacities to control access to the coastal areas and maritime approaches?
 - a) Yes
 - b) No

- 9) Do the drug enforcement coordinating bodies have at their disposal, or can make use of, appropriate vessels to control access to the coastal areas and maritime approaches?
 - a) Yes
 - b) No

- 10) Do the coastal area and maritime approaches security patrol personnel regularly vary their patrol/surveillance times to avoid establishing routines that can be identified by drug traffickers?
 - a) Yes
 - b) No

- 11) Are the high-risk coastal areas and maritime approaches routinely patrolled by drug enforcement coordinating bodies?
 - a) Yes
 - b) No

- 12) Are your patrols effective in controlling access to the high-risk coastal areas and maritime approaches?
 - a) Yes
 - b) No

- 13) Do your patrols meet national performance standards in their role to control access to the high-risk coastal areas and maritime approaches?
 - a) Yes
 - b) No



THREAT/VULNERABILITY RISK SELF-ASSESSMENT METHODOLOGY

Develop a standardized threat/vulnerability risk self-assessment matrix for countries to use in evaluating vulnerabilities and gaps in port security, coastal areas, and maritime approaches

Methodology:

The risk assessment methodology provides a consistent and systematic approach to determining the relative security risks.

The risk assessment methodology is built around four core elements:

- Identifying possible scenarios
- Assessing the likelihood of the scenarios
- Identifying and assessing vulnerabilities
- Assessing the potential impacts

Security Risk Assessment Methodology:

Assessing relative risk (Risk = Threat + Vulnerability + Impact) is based upon an analytical assessment of threat, vulnerability and impact using a scoring system.

Scenarios:

Scenarios, based on “reasonable worst cases” serve as proxies to measure the relative risk associated with the selected gaps.

Threat Assessment:

The first step is to estimate the probability of a particular scenario-taking place. The threat assessment is based upon:

- An intelligence evaluation
- History of similar incidents, including frequency, location and targets
- Feasibility of the scenario (Probability and Detection)

Vulnerability Assessment:

Vulnerability is an indication of the probability of success. It consists of the following factors:

- Existing preventative measures
- Location
- Control effectiveness (Vessel and Means of Control)



Impact Assessment:

The impact assessment estimates the consequences. It considers human loss (or potential for loss) and economic consequences (taking into account social impacts).



THREAT ASSESSMENT SCORING

Score	Intelligence Assessment	History	Feasibility
9 (Imminent)	Multiple sources confirm: <ul style="list-style-type: none"> • Target • Intent • Parties involved Events have occurred that serve as a catalyst	Scenario has occurred frequently in the past	High probability of success Difficult to detect
6 (High)	Multiple sources confirm: <ul style="list-style-type: none"> • Target • Intent • Parties involved 	Scenario has occurred infrequently in the past.	Moderate probability of success Limited ability to detect
3 (Medium)	Limited sources suggesting: <ul style="list-style-type: none"> • Target • Intent • Parties involved 	Scenario has been considered, but not yet occurred	Limited probability of success Moderate ability to detect
0 (Low)	No reporting suggesting consideration or intent of scenario	No indication that this particular scenario has ever been considered	Low probability of success Easily detectable



VULNERABILITY ASSESSMENT SCORING

Score	Existing Preventative Measures	Location	Control Effectiveness	
			Vessel	Means of Control
9 (Extreme)	Limited or no preventative measures to limit access	High-risk coastal areas and maritime approaches are not monitored	Vessels (including small boats, go-fasts, fishing boats, submersibles, etc) that have not identified themselves and pose a high risk	Low level of control
6 (High)	Some preventative measure in place to limit access, but not routinely maintained	High-risk coastal areas and maritime approaches are monitored but not effectively	Vessels (including small boats, go-fasts, fishing boats, submersibles, etc) that have identified themselves but not recognized and could pose a risk	Limited level of control
3 (Medium)	Preventative measures in place to limit access	Coastal areas and maritime approaches are monitored but not on a limited basis	Vessels (including small boats, go-fasts, fishing boats, submersibles, etc) that have identified themselves and are recognized but potentially could pose a risk	Moderate level of control
0 (Low)	Extensive and robust preventative measures in place	Coastal areas and maritime approaches are highly monitored	Vessels (including small boats, go-fasts, fishing boats, submersibles, etc) that have identified themselves and recognized as posing little risk	High level of control



IMPACT ASSESSMENT SCORING

Score	Human Losses	Economic Consequences
9 (Extreme)	Extensive loss of life and injury	Significant short and long term consequences (include trade impact, disruption of trade and social impact)
6 (High)	Moderate loss of life and/or injury	Moderate short and long term economic impact (include trade impact, disruption of trade and social impact)
3 (Medium)	Some loss of life and/or injury	Some short term economic impact (include trade impact, disruption of trade and social impact)
0 (Low)	No loss of life or injury	Minimal short term economic consequences (include trade impact, disruption of trade and social impact)



MARITIME NARCOTRAFFICKING – PORT, COASTAL AREAS & MARITIME APPROACHES THREAT/VULNERABILITY RISK SELF-ASSESSMENT MATRIX

Gap Scenario	Threat			Vulnerability				Impact		Total Risk Score	Mitigation Action	Agency Responsible	Comment
	Intelligence	History	Feasibility	Existing Preventative Measures	Location	Control Effectiveness		Human Loss	Economic				
						Vessel	Means of Control						



